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Defence Management System Manual

VCDS DGSP

Vice-Chief of the Defence Staff
Director General
Strategic Planning

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Letter of Promulgation

National Defence Défense nationale

National Defence Headquarters
Ottawa, Ontario
K1A 0K2

Quartier général de la Défense nationale
Ottawa (Ontario)
K1A 0K2

31 December 1998

Letter of Promulgation

DEFENCE MANAGEMENT SYSTEM MANUAL

1. The Defence Management System Manual (DMS Manual) replaces the old Defence Program Management System Manual. Effective this date, the DMS Manual becomes the primary reference for DND/CF Senior Managers and supporting staff responsible for resource management and Defence Services Program projects and activities.

2. Defence Program Management System Manual, commonly referred to as CFP 125, is hereby cancelled as a DND/CF reference.

3. The DMS Manual provides an overview of the new Government directed resource management system. It provides technical guidance and direction to DND/CF staff at all levels. The DMS Manual will help ensure effective defence resource management decisions that will put the right resources, in the right place, at the right time to achieve the departmental long term vision for the Defence of Canada and Canadian Interests.

Le 31 décembre 1998

Lettre de promulgation

MANUEL DU SYSTÈME DE GESTION DE LA DÉFENSE

1. Le nouveau Manuel du Système de gestion de la Défense (Manuel du SGD) remplace l'ancien Manuel du Système de gestion du Programme de la Défense. À compter d'aujourd'hui, le Manuel du SGD devient la principale référence des cadres supérieurs et du personnel de soutien responsables d'assurer la gestion des ressources, des projets et des activités du Programme des services de la Défense.

2. Par conséquent, le Manuel du Système de gestion du Programme de la Défense, connu sous le nom de PFC 125, ne sera plus considéré comme un ouvrage de référence du MDN/FC.

3. Le nouveau Manuel du SGD présente une vue d'ensemble du nouveau système de gestion des ressources autorisées par le gouvernement. On y retrouve des conseils techniques et des directives d'orientation à l'intention du personnel de tous les niveaux du MDN. Le Manuel du SGD aidera à la prise de décisions éclairées en matière de gestion des ressources de la défense, ce qui permettra d'affecter les ressources adequates au bon endroit et au bon moment en vue de concrétiser la vision à long terme du

Ministère relativement à la défense du Canada et aux intérêts nationaux.

Le chef d'état-major de la Défense,

Général J.M.G. Baril
General
Chief of the Defence Staff

Le sous-ministre,

Jim Judd
Deputy Minister

Canada

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Preface

DMS Manual

0.0.1 The Defence Management System (DMS) manual provides an end-to-end description of the management system implemented within the Department of National Defence (DND) and the Canadian Forces (CF) to achieve effective and efficient delivery of defence services to the Government of Canada and Canadians. The delivery of these services is realized through a series of approved activities and projects better known as the Defence Services Program (DSP).

Program vs. project management

0.0.2 The focus of this manual is on program management issues. By this, it is intended to provide guidance and direction to DND / CF personnel on the processes and procedures in managing the overall defence program in line with the Government's management principles and with a goal of meeting the overall objectives set for the DND and CF within assigned resource levels.

While some guidance/direction is presented which more appropriately deals with project management issues, it is raised herein to ensure linkage between the project objectives and the governing program objectives.

Applies to whom?

0.0.3 The subject matter in this manual applies to all DND/CF personnel yet serves mainly those employed at National Defence Headquarters (NDHQ) involved in the strategic level management activities required to plan, organize, implement and control the program of defence projects and activities.

The purpose of this manual is two fold:

- It provides high level descriptions of the key Departmental management processes and their linkage to those of the Government and central agencies
- It provides more detailed descriptions of key processes and procedures necessary to facilitate strategic level management (i.e. day-to-day activities)

Approval Authority

0.0.4 The DMS manual is issued on the authority of the Deputy Minister and the Chief of the Defence Staff.

Access to the DMS manual

0.0.5 The DMS manual is available in hardcopy by contacting the Canadian Forces Publication Depot (NDID number A-AD-125-000/FP-001) or in electronic format by accessing the VCDS intranet site:

http://131.134.112.25/vcds/dgsp/dmsmanual/intro_e.asp

Document Numbering Convention

0.0.6 For ease of reference, this publication has been written using a document numbering convention based on **Chapter.Part.Block**.

For example: **7.2.3** refers to the third text block in Part 2 of Chapter 7.

Amending the DMS Manual

0.0.7 Suggestions for amending the DMS manual should be forwarded to DGSP/DFPPC 6.

Approved amendments will be promulgated throughout the year by means of Programming Guidance Memorandums (PGMs).

On an annual basis, all approved amendments will be incorporated into the DMS manual and the revised manual will be disseminated through the Canadian Forces Publication Depot and the VCDS intranet site.

A Caution about "PROCESS"

0.0.8 Although the DMS contains structured processes, with appropriate checks and balances, it remains a flexible system. The processes outlined in this document describe an effective way of getting quality staffwork done 99% of the time. Under certain circumstances, there may be exceptions and alternate ways of doing business. The DND/CF must never become a "slave to process".

Whenever staff officers consider that special handling would be advantageous to the DND/CF or some step of the DMS is not appropriate for a particular case, they should contact a DFPPC analyst (refer to Block 9.7.1) for advice on the best method to progress the matter.

Reference Publications

0.0.9 The DMS manual refers to a variety of specific subject matter which is addressed in more depth within reference publications/documents issued by other internal and external to DND organizations. These publications are listed in the Bibliography on Page G-32 of the Glossary and should be consulted as appropriate.

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Defence Planning
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Program Guidance Memorandum (PGM)

- DGSP Information
- Defence Planning & Management
- Project Approval Guide
- Reports & Publications
- Commitees & Working Groups
- Courses & Seminars
- Tools & Applications
- Comments Please!

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"Approved amendments are promulgated throughout the year by means of Programming Guidance Memoranda (PGMs). A Programming Guidance Memorandum is one of an ongoing document series which provide a mechanism for the promulgation of non-permanent instructions or information affecting the Defence Services Program, amplification of Program Management Board decisions/directives, advance notice of forthcoming changes to DMS Manual, etc."

Please click the link below to access the document in its original format.

Please note that you may require a third-party application to view this file.

PGM	MS Word (.doc)	Zipped Format (.zip)
PGM 2/01 - Joint Capability Requirement Board	(26 KB)	(6 KB)
PGM 1/01 - Expenditure Approval - Miscellaneous Requirement/Construction Projects	(31 KB)	(10 KB)
PGM 1/00 - Revenue from Major Weapons System Disposal/Trade-in	(31 KB)	(7 KB)
PGM 1/99 - Incremental Cost Moves	(30 KB)	(8 KB)

Last Updated: 2003 9 30 Important notices

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PGM 2/01 - Joint Capability Requirement Board

Mandate

The JCRB will review proposals, challenge the issues and provide direction for the development of multi-purpose CF capabilities including the Long Term Capital Plan and Future Capability Plans.

Routinely for strategic projects, JCRB will develop a joint understanding of Concepts of Employment/Operations, debate and reach consensus for Statements of Operational Requirement and resolve issues of project scope at the corporate level.

DM/CDS Oversight

The work of JCRB will be reviewed by the DM/CDS at least twice a year. DM/CDS will co-chair JCRB when strategic corporate program decisions are required. The Associate DM will be an ex-officio member at these special meetings.

Membership

The Joint Capability Requirement Board will include:

Chair	VCDS
Core Members	CMS
	CLS
	CAS
	DCDS
	ADM(Pol)
	ADM(HR-Mil)
	ADM(IM)
	ADM(S&T)
	ADM(Mat)
	ADM(Fin CS)
Associate Members	ADM(IE)
	ADM(HR-Civ)
	ADM(OCIPEP)
	CRS
	DGPA

Secretariat	DGSP/DFPPC
Attendees	(with scribe and analyst) A sponsoring member may bring two support staff to assist with presentations and responses. No other attendees are allowed.

Role of Core Members Core membership is based on the premise that most capabilities discussed at JCRB meetings link directly to the operating capabilities of the CF. JCRB meeting will not be held unless all core members are available. Accordingly core members must attend all meetings and be fully prepared to discuss proposals in detail to determine what, when and how much capability is required.

Role of Associate Member Associate members will attend JCRB meetings at their discretion. Associate members will often be in a position to add advice and counsel. This can be important if there are potential cross impacts that add risk or planning complications.

Member Substitution Attendance of all core members is mandatory. Members may delegate attendance and authority to their immediate deputy, but no lower.

Agenda The meeting agenda and supporting documentation will be distributed to all members.

Impact on the DMS JCRB does not normally take decisions that directly assign resources to activities or projects. JCRB does take decisions and give direction that will help define the desired scope of an activity or project including the expected level of investment.

Frequency of Meetings The Joint Capability Requirement Board will meet at the call of the Chair or when requested by a core member.

Record of Decisions A Record of Decisions of the meeting will be prepared and maintained by the Secretariat.

Effective Date PGM 2-01 replaces PGM 2-00 in total and is effective immediately. The DMS Manual will be amended to include this change.

Point of Contact For further information regarding Joint Capability Requirement Board contact JCRB Sec (DFPPC 6-9) at 945-1304.

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PGM 1/01 - Expenditure Approval - Miscellaneous Requirement/Construction Projects

Part 1 – Overview and Policy

Purpose

This PGM outlines authorities and responsibilities for identifying, approving and implementing Miscellaneous Requirement (MR) and Construction projects.

Background

A Miscellaneous Requirement (MR) is defined as a Capital project for the one-time acquisition of new equipment or materiel where the total project value does not exceed $5M. In the case of recurring acquisition of replacement equipment or materiel, the individual item value cannot exceed $1M.

Further conditions applicable to MRs are:

- They do not significantly increase demand on Personnel or O&M;
- They have no incremental project management costs; and
- They have no significant project definition/development costs.

An MR for recurring acquisition refers to routine continuing renewal of a fleet or inventory with similar capability on a one-for-one replacement basis (e.g., vehicles, IT equipment, furniture). MR financial and approval limits apply equally to MRs for recurring acquisition.

For the purposes of this PGM a Construction project is defined as a locally funded Vote 5 Capital Construction or Recapitalization project under $5M.

Policy Statements

The following policy statements apply to MR (including recurring acquisitions) and Construction projects:

- MR, Construction or Recapitalization projects are funded from the Capital portion of sponsoring Level One operating budget;
- Departmental approval for MR and Construction projects, up to a value of $5M, is granted by the sponsoring Level One Advisor;

- DM, ADM (IE) and ADM (Mat) have expenditure authority up to $5M for MR and Construction projects;
- All other Level One Advisors have expenditure authority up to $1M for MR and Construction projects;
- For those Level One Advisors who do not have local Construction funds, ADM (IE) has departmental and expenditure authority up to $5M, following review and funding by the Small Level One Construction account; and
- The procurement strategies for MRs over $2M are to be reviewed for Industrial and Regional Benefit (IRB) potential by the Procurement Review Committee (PRC) prior to approval.

Part 2 - Corporate Management Issues

Responsibilities

Level One Advisors/Environmental Chiefs of Staff are responsible for identifying Construction and MR requirements and staffing proposals for approval. Approval documentation will be the Synopsis Sheet (MR) or Synopsis Sheet (Construction) as described in the DMS Manual (31/12/98) and must be provided to obtain the required funding.

Level One Advisors/Environmental Chiefs of Staff may grant departmental approval for all locally funded MR and Construction projects and grant expenditure authority up to a limit of $1M. MR and Construction projects with dollar value greater than $1M up to a limit of $5M will be staffed to either ADM(Mat) or ADM (IE) for review. Thereafter, they are staffed to DFPPC for corporate review and then to ADM(Mat) or ADM(IE) for expenditure authority. Level One Advisors are to certify when they provide departmental approval that the required funds are available and committed in their Vote 5 - Operating Budget. See the attached sign-off page.

Projects under $5M that do not qualify as MRs, either because departmental funding is required or O&M criteria are not met, will be staffed for approval as described in this PGM except that the full SS EPA format will be used with the sign-off page from this PGM. SRB endorsement and PMB secretarial approval will be required if funding is from the Corporate Capital Equipment account (C503).

Part 3 - Business Implementation Issues

MR and Construction projects are managed within the Level One business plan. Staffing outside the sponsor's group is only required for expenditure authority as noted above.

Implementation of MR (engineering and procurement action) and Construction (design and build) projects will be co-ordinated between the sponsor and the appropriate engineering/procurement authorities using accepted business practises.

Points of Contact

At DFPPC - M.W. Fawcett, DFPPC 6, 992-5624
At ADM(Mat) - D. L. Valberg-Groulx, DMG Compt, 995-2572
At ADM(IE) - R. Gaudette, DRAP, 995-1162
Your DFPPC Analyst.

Effective Date

This PGM is effective 12 Oct 2001.

DMS Manual

Changes to the dollar limits for MR and Construction projects and expenditure authority are effective on receipt of this approved PGM. These changes apply to Chapter 6, Part 3 paragraph 6.3.1, Chapter 7, Part 3 Project Approval Summary Table (amended copy attached) and paragraphs 7.3.6 and 7.3.7, and Chapter 7, Part 6 paragraphs 7.6.1, 7.6.3 and 7.6.4.

The contents of this PGM will be incorporated into the next revision of the DMS Manual. This PGM will be automatically cancelled with the issuance of the next version of the DMS manual.

Related Reference Material

- A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31
- Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01

Approval Process Summary Table

Note: All approval levels are full-up $BY excluding GST/HST

CATEGORIES	ENDORSED/APPROVED by	DEPARTMENTAL APPROVAL	EXPENDITURE AUTHORITY
Synopsis Sheet (ID) (including Omnibus projects)			
Vote 1 resources required	SRB (1)	Sponsoring Level One Advisor (2)	Sponsoring Level One Advisor
Vote 1 resources not required	SRB (1)	Sponsoring Level One Advisor (2)	
Synopsis Sheet (Miscellaneous Requirement/Construction Projects < $5M) (7)			

Unforecast Operational Requirement <$1M	Joint Staff/Sponsoring Level One Advisor	DCDS	DCDS
Unforecast Operational Requirement $1M - $5M	Joint Staff/Sponsoring Level One Advisor/DCDS	VCDS/PMB	DM/ADM(Mat)
Unforecast Operational Requirement >$5M	Joint Staff/Sponsoring Level One Advisor/DCDS	VCDS/PMB	MND
Misc Requirements $1M - $5M	PRC (3)	Sponsoring Level One Advisor	DM/ADM(Mat)
Construction Projects $1M - $5M	LTCP(C) (4)	Sponsoring Level One Advisor	DM/ADM(IE)
Misc Requirements or Construction Projects <$1M		Sponsoring Level One Advisor	Sponsoring Level One Advisor
Synopsis Sheet (PPA/EPA) (7)			
$5 - $30M ($5 - $60M for Construction)			
designated non-strategic	SRB/PL, PRC	Sponsoring Level One Advisor (4)	MND
designated strategic	JCRB/SRB/PL, PRC (5)	PMB	MND
$30 - $100M ($60M - $100M for Construction)			
designated non-strategic	SRB/PL, PRC	Sponsoring Level One Advisor (4)	TB
designated strategic	JCRB/SRB/PL, PRC (5)	PMB	TB
>$100M			
non-MCP	JCRB/SRB/PL, SPAC (5)(6)	PMB	TB
MCP	JCRB/SRB/PL Cabinet/SPAC (5)(6)	PMB	TB

1. Senior Review Board (SRB) endorsement/approval is required for potential MCPs and Omnibus projects but is at the Level One Advisor's discretion for all other activities, initiatives and projects.
2. Once approved by the Sponsoring Level One Advisor, a copy of the Synopsis Sheet for an MCP or Omnibus project is forwarded to PMB Sec for tabling at PMB
3. The procurement strategies for Miscellaneous Requirement (MR) projects over $2M are to be reviewed for Industrial and Regional Benefit (IRB) potential by the Procurement Review Committee (PRC) prior to approval
4. Only if the project is in the Long Term Capital Plan (LTCP) (Equipment or Construction), otherwise PMB approval is required.
5. Routinely, the Joint Capability Requirement Board (JCRB) will endorse the Statement of Operational Requirement (SOR) for all strategic projects and MCPs
6. A Senior Project Advisory Committee (SPAC) is established for MCPs and all projects exceeding $100M
7. Vote 5 Resources

SIGN-OFF PAGE
SYNOPSIS SHEET(SS) FOR PROJECTS UNDER $5M
MISCELLANEOUS REQUIREMENT/EPA/CONSTRUCTION

PROJECT TITLE:
Date:

Prepared by:

Name/Appointment/Phone Signature Date

Endorsed by: (Normally signed by the respective Requirements Director)

Name/Appointment/Phone Signature Date

Departmental Approval: (Signed by the sponsoring Level One Advisor/PMB for strategic projects)

Approve SS MR/EPA/New Construction at a substantive cost estimate of $xxx (BY), net of GST.

Confirm that I have allocated the required funding in my MR/Non-Strat/Construction account.

Name/Appointment/Phone Signature Date

Financial Reporting: (Signed by DB)

Vote 5 expenditure noted and recorded

(Capital Equipment Projects only)

Name/Appointment/Phone Signature
Date

ADM(Mat)/IE Review: (Signed by relevant DG)

Recommended

Name/Appointment/Phone Signature
Date

Corporate Review: (For submissions with value $1M to $5M)

Recommended for expenditure authority

Name/DFPPC/996-3369 Signature Date

Expenditure Authority: (For submission with value $1M to $5M) - ADM(Mat) for Materiel, ADM (IE) for Construction

Expenditure authority of $xxx approved

Name/ADM(Mat)/ADM(IE)/Phone Signature Date

Distribution:

Original - Sponsor

Copies - ADM(Mat) or ADM(IE), DB, DFPPC

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PGM 1/00 - Revenue from Major Weapons System Disposal/Trade-in

Major Weapons Systems, Major Support Platforms

Part 1 – Overview and Policy

Purpose

The purpose of this PGM is to outline authorities and responsibilities for declaring major weapons systems and major support platforms surplus to DND/CF requirements and to outline the distribution of revenue from the sale/trade-in of surplus moveable assets. For the purposes of this PGM, the term "major weapons system" refers to items such as, but not limited to, combat aircraft, destroyers, tanks and artillery systems and the term "major support platform" refers to items such as, but not limited to, transport aircraft, support ships, and armoured personnel carriers. (Note the disposal of realty assets is not covered by this document, it will be covered under in a soon to be promulgated PGM on Realty Asset Disposal).

Background

The Surplus Crown Assets Act (R.S., c. S-20, s. 1.) was amended in 1993 with the intent of optimizing the process for disposal of surplus moveable Crown assets. Subsequently, Treasury Board (TB) Secreteriat authorized 6 pilot disposal projects to evaluate the feasibility of alternate disposal mechanisms for surplus moveable assets. At the completion of the pilot disposal projects TB Secreteriat analysis and interdepartmental consultations were undertaken. The result was the publishing of a set of revised policy guidelines on surplus Crown asset disposal. The revised policy guidelines can be viewed at http://publiservice.tbs-sct.gc.ca/Pubs_pol/dcgpubs/materielmanage/dsmca1_e.html

Policy Statements

Deputy Minister

The Deputy Minister is responsible for overall disposal management within the Department. This responsibility, as it relates to the management of surplus materiel, has been delegated as detailed below.

VCDS Authority

Only the VCDS may declare major weapons systems and major support platforms surplus to DND/CF requirements. The issuance of a VCDS surplus declaration constitutes the requisite authority for ADM (Mat)/Director Disposals, Sales, Artefacts, and Loans (DDSAL) to proceed with disposal action.

Proceeds from Sales

Proceeds from sales of surplus major weapons systems and major support platforms will accrue to the VCDS for reallocation in accordance with departmental priorities. Level 1 Managers/Environmental Chiefs of Staff can make representation, through a business case presentation, to the VCDS (through DFPPC) for access to a portion of the disposal revenue.

Part 2 - Corporate Management Issues

Responsibilities

Level 1 Managers/Environmental Chiefs of Staff are responsible for identifying major weapons systems and major support platforms that are no longer required to support CF operations and making recommendations to the VCDS regarding surplus declarations and the return of proceeds from disposal. Recommendations to the VCDS may include, but are not limited to, business cases that request the return of disposal revenue to offset the cost of preparation of major weapons systems and major support platforms for disposal.

Upon issuance of a surplus declaration memo by VCDS, the ADM (Mat) point of contact Director Disposals, Sales, Artefacts, and Loans (DDSAL) is responsible for providing the best overall outcome for DND in its disposal of major weapons systems and major support platforms.

Points of Contact

ADM (Mat) point of contact for disposal is Director Disposal Sales Artefacts Loans (DDSAL) http://www.dnd.ca/ddsal/index.html

VCDS staffing point of contact is Director Force Planning and Program Coordination (DFPPC) http://vcds.dwan.dnd.ca/dgsp/dfppc intro_e.asp

ADM (Fin CS) point of contact for budget coordination is Director Budget (DB) and for financial policy relating to all types of disposal activity is Director Financial Policy and Procedures http://admfincs.dwan.dnd.ca/organiz dfpp/poc_e.asp

Effective Date

This PGM is effective 26 Oct 2000.

DMS Manual The contents of this PGM will be incorporated into the next revision of the DMS Manual. This PGM will be automatically cancelled with the issuance of the next version of the DMS manual.

Related Reference Material Further detailed reference material, including detailed procedural information pertaining to all disposals/trade-ins of surplus moveable assets can be found in DAOD 1018-0 dated 30 Aug 2000 http://rod.d-ndhq.dnd.ca/admfincs/subjects/daod/1018/intro_e.asp

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PGM 1/99 - Incremental Cost Moves

Part 1 – Overview and Policy

Purpose

The purpose of this PGM is to clarify and establish the rules for determining and funding costs moves that are incremental to the annual corporate cost moves established in planning guidance.

Background

At the direction of PMB, ADM(HR-Mil) established a rigorous planning and control system for developing annual cost move plans, making cost move resources available to Level One business planners and managing the cost move corporate account to a zero balance.

Various business initiatives, for example ASD initiatives, include the requirement to move military personnel and these initiatives are often incremental to the routine planning of annual military postings.

PMB Chairman noted the difficulties these initiatives imparted to managing the cost moves corporate account and determined that a more clearly defined set of rules were required to facilitate business planning and management.

Policy Statements

Sponsors of ASD and other similar non-recurring business initiatives are financially responsible for all cost moves directly generated by the initiative. By their non-recurring nature, such moves are deemed to be incremental, hence unforecast, to the normal CF Assignment System Plan.

Points of Contact

ADM(HR-Mil) point of contact for cost moves is DGMC. VCDS staffing co-ordination point of contact is DFPPC. ADM(Fin CS) point of contact for budget co-ordination is DB.

Effective Date

The effective date of PGM 1/99 is 27 May 1999.

DMS Manual

The contents of this PGM will be incorporated into the next issue of the DMS Manual. PGM 1/99 will be automatically cancelled with the issuing of the next version of the DMS Manual. DFPPC will action.

Part II - Corporate Management of Cost Moves

DPG Planned Allocation

DPG announces, annually, the planned notional allocation for military personnel cost moves. The Cost Move Corporate Account, C107, is expected to remain constant with allowance for standard inflation.

ADM(HR-Mil) Management

Using the DPG notional allocation to Corporate Account C107, DGMC determines the total move availability for the upcoming FY. The initial step is to identify and cost all non-discretionary obligations that recur annually. These are individually costed per move type, based on a specific number of moves as pre-determined by D Mil C and DSA for the coming FY. The notional non-discretionary estimate is then deducted from the DPG allocation. The remainder, or discretionary portion of the allocation, is apportioned the same way. Average move costs for discretionary moves within North America and outside are applied. This process must also consider all relocation factors, for example, changes in the F&E tariff rate, and the impact of new programs such as the IRPP.

Once the number of moves is so determined, DGMC authorizes D Mil C and DSA to proceed with the implementation of their respective Assignment Plans. These Assignment Plans are managed by DSA and the various MOC dedicated Career Managers who directly co-ordinate Military Assignments in concert with all parties concerned. Pertinent data for such assignment plans must be confirmed by 31 December each year to permit FY costing and compliance with VCDS EC direction per 1901-5 (VCDS) 1 December 1997, and 1901-1 (DEPR 2) 27 August 1998.

Level One BP Allocation

Cost moves are allocated to DSA and D Mil C for specific management based on their determined estimates and overall Assignment Plan. In the case of D Mil C, he further delegates the available moves to the various Military Career Managers for MOC specific management. Cost moves are the means used to enable DSA and D Mil C's Career Managers to move personnel to new geographic locations where their specific skills are required by the CF. This decision, to geographically reassign a member, is made by DSA or the applicable Career Manager in consultation with the chain of command and, of course, the member concerned.

Part III - Business Initiatives with Cost Move Implications

Level One Initiatives

Business initiatives will normally be announced first in the annual Level One Business Plans and will get initial broad exposure through the BPRT process. Business initiatives will ensure a detailed business case is produced that will include identification of any cost move implications. A copy of this business case will be provided to DGSP/DFPPC and DGMC/D Mil C.

Determining Incremental Cost Moves

The process for determining the final number of incremental cost moves resulting from a business initiative will require close co-operation among D Mil C, the applicable sponsor and local (location) authorities. On receipt of the business case proposal, D Mil C will undertake to liaise directly with authorities at the affected locations and have the applicable Career Managers determine and differentiate between the total number of military cost moves called up in the business initiative proposal versus those that would have occurred by normal rotation. This will be done on a case by case basis. This revised personnel move list will be confirmed by D Mil C through consultation with the sponsor and location authorities.

Co-ordination with ADM (HR-Mil)

D Mil C will ensure DMCRM, as the ADM(HR-Mil) Corporate Account holder, is advised of the confirmed results of the incremental move determination process. Once the incremental total is so confirmed, DMCRM will advise DFPPC of the incremental move total (with costs) and request action to adjust the appropriate accounts in accordance with the agreed schedule. The timeline for these adjustments is critical to the completion of the DGMC Assignment Plan formulated in Dec/Jan each FY.

Out-of-cycle Co-ordination

When operational or compelling business requirements necessitate a change to the cost move plan outside the normal business plan cycle, direct hands-on adjustment of the move plan will be required. Close co-ordination between the Level One Manager and ADM HR(Mil) is required and the Level One Manager will bear all incremental costs.

Part IV - Staffing for Approval

Level One and ADM (HR-Mil) Agreement

Agreement between the Level One sponsor of the business initiative and ADM(HR-Mil) will be confirmed prior to 31 December in the year immediately preceding the first incremental move(s). DFPPC is responsible for confirming this agreement is in place before any submission to PMB is allowed.

Cross Impacts	Cross impacts (i.e. a business initiative that has potential third party implications) should be identified in the business initiative proposal and issues resolved during the review process. DFPPC has the responsibility of ensuring all cross impact issues have been identified and resolved prior to any submission to PMB.
DB Financial Account Actions	DFPPC will advise DB of the requirement to make the appropriate adjustments. DB will advise of the completion of these adjustments (completed or pending) by 31 December in order to ensure move action in the following FY Assignment Plan.
PMB Endorsement	Funding incremental cost moves requires a program adjustment as defined in DMS Manual Chapter 3, Part 5. The Level One sponsor of the business initiative is required to submit a Memorandum to PMB to seek formalization of the program adjustment.
PMB Decisions/ Direction	PMB will be asked to ratify the cost move agreement and approve the program adjustment. ADM (Fin) will be directed to action the adjustments in accordance with the agreed schedule.

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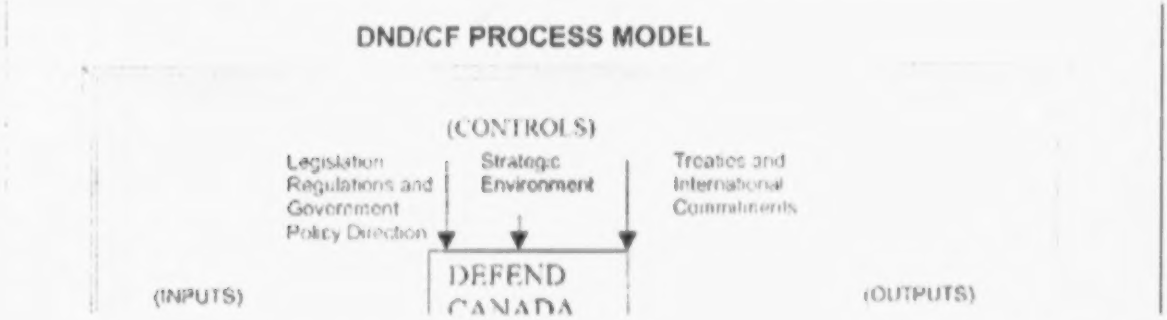
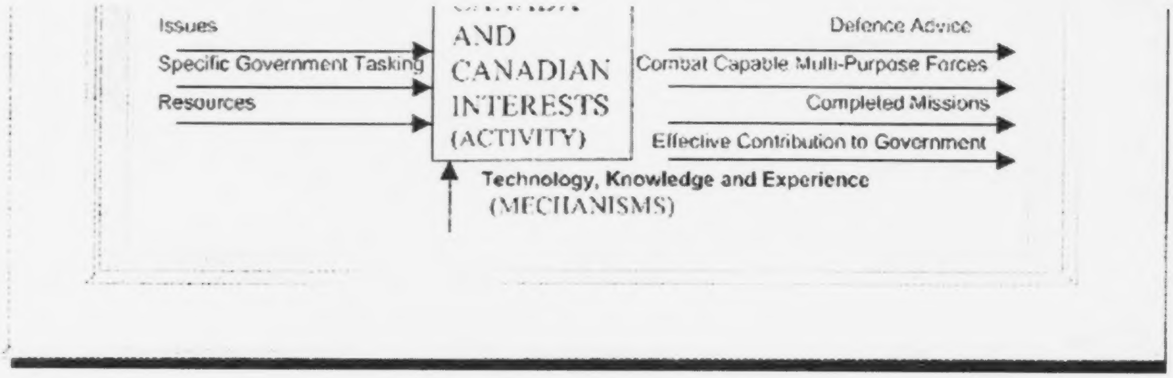
Chapter 1 - Management of the Defence Program

Overview 1.0.1 This chapter presents a high level description of the program management framework used within DND to plan, organize, implement and report on the overall implementation of the defence program. It is divided into the following parts:

Part	Title	Page
1	Old DPMS - New DMS	1-2
2	Expenditure Management System	1-5
3	Planning, Reporting and Accountability Structure (PRAS)	1-8
4	Defence Services Program	1-11
5	Defence Management System	1-13
Annex A	Level One Management Organization	1A-1

A Note on Process 1.0.2 The following diagram represents the DND/CF process at its highest level wherein the activity "Defend Canada and Canadian Interests" involves changing the inputs (Issues, Specific Government Tasking and Resources) into outputs (Defence Advice, Combat Capable Multi-purpose Forces, Completed Missions and Effective Contribution to Government) under specific controls (Legislation, etc., Strategic Environment, Treaties and International Commitments) and using known mechanisms (Technology, Knowledge and Experience).
This type of process model can illustrate all activities in the defence program.


DND/CF PROCESS MODEL
(CONTROLS)
Legislation Regulations and Government Policy Direction
Strategic Environment
Treaties and International Commitments
(INPUTS)
DEFEND CANADA
(OUTPUTS)


Issues
Specific Government Tasking
Resources
AND
CANADIAN
INTERESTS
(ACTIVITY)
Defence Advice
Combat Capable Multi-Purpose Forces
Completed Missions
Effective Contribution to Government
Technology, Knowledge and Experience
(MECHANISMS)

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Chapter 1, Part 1 - Old DPMS - New DMS

The Demise of the DPMS

1.1.1 The old Defence Program Management System was based on the principle of centralized control, was almost entirely "demand" driven and relied heavily on the maintenance of large central reserves of cash and personnel. This system was very "process" bound, tended to be overly bureaucratic and fostered the growth of large central staffs.

Through a very extensive re-engineering effort, this system has been replaced.

The Rise of the DMS

1.1.2 The new Defence Management System, based on a codified system of accountabilities and responsibilities, is much more decentralized, maintains very small central reserves and relies on approved level-one business plans for the implementation of the defence program. It is very closely tuned to the new (Government) Expenditure Management System.

The DMS (as was the old DPMS) is directly related to the management of Canadian resources, identified and assigned by Parliament, for the purpose of National Defence and fostering broad Government programs. The stewardship of defence resources is what the DMS is all about and is distinct from the leadership and conduct of military operations.

Four Core Processes

1.1.3 The DND/CF re-engineering effort recognized four core processes to plan, develop and implement the defence program. These are:

- The Strategic Direction Process
- The Force Generation Process
- The Force Employment Process
- The Corporate Management Process

Strategic Direction

1.1.4 The objective of the strategic direction process is to provide a visionary, long term and measurable picture of what the CF should look like, and be, in order to provide real substance to Canadian national policy objectives. Obviously not every staff member is involved in this process. However, the outcome of this process will guide the daily activity of every DND/CF member.

The key lead elements of the Strategic Direction process are the development of the Geo-Strategic Assessment and the Military Assessment. These two documents are prepared at the bequest of the Defence Management Committee (DMC) and ultimately approved by DMC. The DGSP staff, through extensive internal and external consultation, is tasked with the preparation of both documents.

Defence strategic direction cannot be effective without identifiable guideposts and milestones as a means of measuring how effectively the Department is moving down the road. Headquarters staff officers may be asked to develop these measuring sticks.

The visual expression of Strategic Direction is provided through the annual submission of Defence Planning Guidance. See Chapter 3. Since the strategic vision is perhaps 15 or 20 years in the future, DPG can only represent the near term objectives and seek to move the yardsticks toward that vision in distinctive measurable steps.

Force Generation

1.1.5 The objective of the force generation process is to produce capable personnel in the required calibre and numbers, equipment and infrastructure that are operationally effective and sustainable, and military preparedness.

From the guidance contained in DPG, Level One Managers produce business plans which outline the generation of forces required to meet immediate operational requirements and develop toward the long term vision. In-year management of the DND/CF is conducted in accordance with these plans. See Chapter 4.

Force Employment

1.1.6 Day to day operations (such as sovereignty operations and ongoing peacekeeping operations) are managed within the business plans. It is often impossible to distinguish between the force generation process and the force employment process in these instances.

Unplanned, short notice operations are different in that they often drive a change to business plans and must be managed as an "issue". Here the process is aimed at making a corporate decision to make the necessary change and perhaps provide guidance for future planning.

Apart from day to day operations outlined in business plans, the most common visual expression of force employment occurs in the annual reports to Government (Departmental Performance Report).

Corporate Management

1.1.7 The objective of the corporate management process is to provide stewardship of defence resources in:

- Supporting the Vision
- Managing Change
- Managing Issues

Resources are divided into three groups called Operating Accounts, Corporate Accounts and Central Reserve. These are further explained throughout this manual.

An Integrated Approach to "Process"

1.1.8 DND/CF staff must not expect to see the four core processes as mutually exclusive, sequential entities. In practise they are very inter-related and overlapping. Staff might be very heavily involved in one and seldom encounter others. The integrated approach to process is still the very basic management approach of planning, implementing, controlling and reporting. And, the staff officer's task is to cause effective decisions to be taken to get the right resources, in the right amounts, in the right place, at the right time.

Evolution

1.1.9 The DMS is constantly evolving. The DND/CF is committed to an evolutionary process so that leaders and staff will always have the opportunity to make changes, break through "red-tape" barriers and achieve truly effective and timely decision making.

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Chapter 1, Part 2 - Expenditure Management System (EMS)

Introduction

1.2.1 The Expenditure Management System (EMS) is a cyclical process by which the Government establishes broad national priorities and a budget strategy, arrives at a national budget decision (announced as the Budget Speech) and issues subsequent direction from which federal departments create their business plans.

What does the EMS provide?

1.2.2 The EMS provides:

- the linkage between Government policies and Departmental plans
- the overall strategic resource management framework
- the processes associated with performance measurement within the Government
- the framework within which Departments report to Parliament, Cabinet and Treasury Board

---

EMS and Resources

1.2.3 The Government's EMS was introduced to foster greater fiscal responsibility and help the Government meet overall fiscal targets. The EMS requires that departments operate within existing funding levels in order to ensure that departmental spending plans are properly integrated into the annual Budget.

The fundamental principle of living within assigned resource levels is the basis for all departmental management systems and is a crucial point to DND's own Defence Management System. The EMS further offers ministers greater autonomy and flexibility in managing within their assigned resource levels.

A key element in the EMS is the ability of departments and ministers to influence the decision making process through the timely provision of advice and recommendations to the central agencies of government in the form of "Reports to Government" (explained in more detail in Part 2).

Further References

1.2.4 Further information on the EMS can be found in an article The Expenditure Management System of the Government of Canada, Ottawa: Treasury Board Secretariat (TBS), Program Branch, 1995 or online at the TBS Internet site:

http://www.tbs-sct.gc.ca/Pubs_pol/opepubs/TB_H/EXMA_e.html

EMS Phases

1.2.5 The EMS is designed in three distinct phases:

- the Planning Phase
- the Performance Reporting Phase
- the Budget and Appropriation Phase

Information gathered during the Planning and Performance Reporting Phases of the EMS are used to derive Government spending levels (Budget and Appropriation Phase) as published each spring in the Estimates for the coming fiscal year.

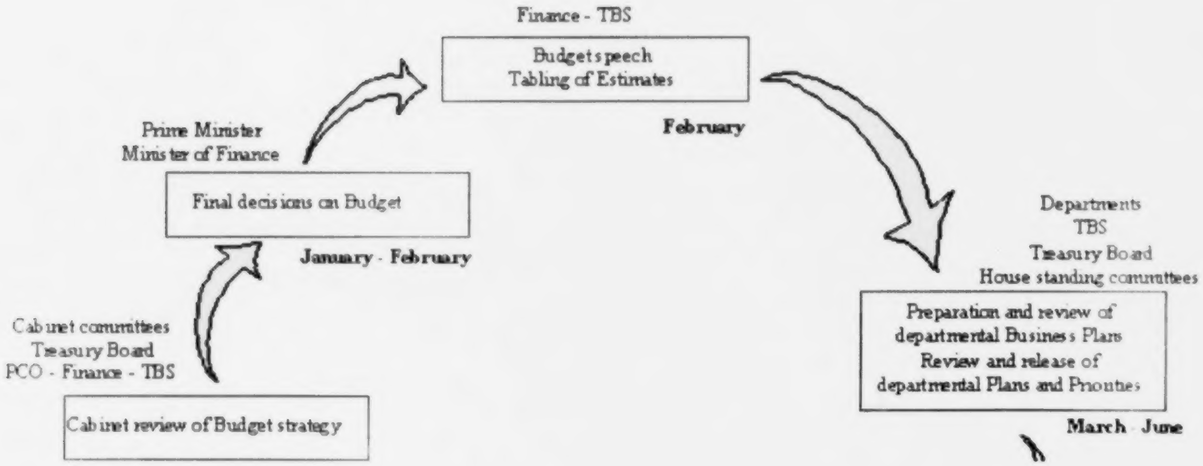
Budget Cycle

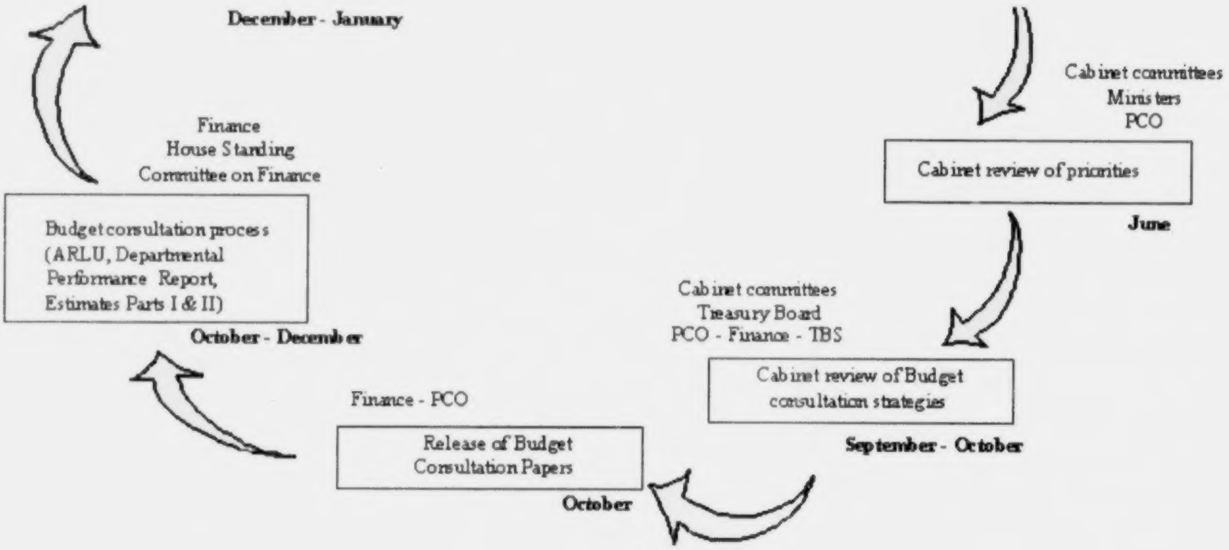
1.2.6 The EMS budget cycle is shown at Figure 1. Activities occurring in the spring/summer timeframe are part of the Planning Phase. Activities occurring in the fall/winter timeframe are part of the Performance Reporting Phase. The Budget and Appropriation Phase begins with the submission of departmental business plans to Treasury Board and Cabinet, and the presentation of the Report on Plans and Priorities to Parliament and Standing Committees for review. The delivery of the budget speech followed by the tabling of the Estimates ends the yearly EMS budget cycle.

Figure 1

1.2.7 The EMS budget cycle is illustrated in the figure below:

The EMS Budget Cycle


Finance - TBS
Budget speech
Tabling of Estimates
February
Prime Minister
Minister of Finance
Final decisions on Budget
January - February
Departments
TBS
Treasury Board
House standing committees
Preparation and review of departmental Business Plans
Review and release of departmental Plans and Priorities
March - June
Cabinet committees
Treasury Board
PCO - Finance - TBS
Cabinet review of Budget strategy


Cabinet committees
Ministers
PCO
Cabinet review of priorities
June
Cabinet committees
Treasury Board
PCO - Finance - TBS
Cabinet review of Budget consultation strategies
September - October
Finance - PCO
Release of Budget Consultation Papers
October
Finance
House Standing
Committee on Finance
Budget consultation process (ARLU, Departmental Performance Report, Estimates Parts I & II)
October - December
December - January

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Chapter 1, Part 3 - Planning, Reporting and Accountability Structure (PRAS)

Introduction

1.3.1 The Planning, Reporting and Accountability Structure (PRAS) outlines how departments will implement a business approach to planning (using agreed business lines), how they will report achievements against these business lines, and how they will be held accountable for delivering identified outcomes. The PRAS provides a comprehensive description of departmental objectives and is used to link activities to desired program effects.

What does the PRAS provide?

1.3.2 The PRAS is the principal source for the following Departmental information:

- Defence Missions or Business Lines
- Defence Objectives
- Key Results and Expectations
- Performance Measurement Strategy - Measures, Indicators and Standards
- Accountability for Meeting Objectives

Who prepares the PRAS?

1.3.3 The PRAS is a document prepared by the strategic planning staff (VCDS/DGSP), endorsed by DM/CDS and forwarded to the Treasury Board under the signature of the Deputy Minister.

Where do you find the PRAS?

1.3.4 For access to the PRAS document contact DGSP/DFPPC 8.

Business Lines

1.3.5 The PRAS meets a Government requirement that departments report activities along business lines. In the case of DND, the business lines have been agreed as:

- **Defending Canada** - protecting Canada's national territory and areas of jurisdiction; helping civil authorities protect and sustain national interests; ensuring an appropriate level of emergency preparedness across Canada; and assisting in national emergencies
- **Defending North America** - protecting Canadian approaches to the continent in partnership with the United States, particularly through NORAD; promoting Arctic security; and pursuing opportunities for defence cooperation with the US in other areas
- **Contributing to International Security** - participating in a full range of multilateral operations through the UN, NATO, or other regional organizations and coalitions of like-minded countries; supporting humanitarian relief efforts and restoration of conflict-devastated areas; and participating in arms control and other confidence building measures

Planning

1.3.6 Planning at the departmental level is based on business plans. The business planning concept is fully described in Chapter 4.

Reporting

1.3.7 The following table highlights DND's reporting requirements:

Presentation	Prepared by	Submitted to	Time
Departmental Business Plan	VCDS/DGSP	Treasury Board	End June
Departmental Input to Main Estimates Parts I & II	ADM (Fin CS)	Treasury Board	End November (tabled in Parliament prior to March 1)
Report on Plans and Priorities	VCDS/DGSP	Parliament/Standing Committees	1 March (tabled with the Estimates)
Departmental Performance Report	VCDS/DGSP	Parliament	October

Annual Reference Level Update	ADM (Fin CS)	Treasury Board	end October

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Accountability

1.3.8 The high level accountability system for DND and the CF is described in Organization and Accountability: Guidance for Members of the Canadian Forces and Employees of the Department of National Defence, Ottawa, September 1999. This document can be accessed from NDHQ/DGPA Intranet site:

http://www.forces.gc.ca/site/minister/eng/authority/oa_e.htm

Organizations are accountable achieving outcomes and key results in accordance with approved business plans or as otherwise directed by the DM/CDS.

In addition, organizations are accountable to the DM through the Financial Management and Accountability Framework, March 98 which requires that each Level 1 manager produce a Letter of Attestation attesting to the fulfillment of financial management responsibilities. This document can be accessed from the NDHQ/ADM(Fin CS) website:

http://admfincs.dwan.dnd.ca/organiz/dfpp/fmaf_e.asp

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Chapter 1, Part 4 - Defence Services Program (DSP)

Introduction

1.4.1 The Defence Services Program (DSP) is the total of all departmentally approved activities and projects which are deemed to be essential to the delivery of affordable and effective defence services to the Government and Canadians. The DSP conforms to government policy and is expressed in resource terms.

Work Processes

1.4.2 The fundamental concept of ***approved activities and projects*** as defining the total scope of the DSP, is essential to understanding the Defence Management System.

Management activities to implement and continually update the DSP fall into four broad work processes:

- development of defence policy and strategic direction (Chapter 3)
- generation of forces, including the provision of training and equipping of these forces (Chapters 6, 7, 8 & 9)
- employment of forces and the conduct of operations
  (Not covered in the DMS manual.)
- provision of corporate services

Components of the DSP

1.4.3 Aggregate resources to deliver the DSP are defined through the following components, which relate to the way in which Parliament votes funding for government programs:

- **Personnel (P) - Vote 1**: the direct costs in military and civilian pay, allowances and benefits.
- **Operations and Maintenance (O&M) - Vote 1**: all operating and maintenance costs not accounted for elsewhere, including such things as contracted research and development, fuel, replacement ammunition, spares, repair and overhaul, facilities operating costs, rentals, most services, etc. This category also includes Personnel related O&M such as such as postings, recruiting and professional development.

- **Capital (C) - Vote 5**: all expenditures made to acquire or improve capital assets. Acquisition includes the design, development, construction or purchase of capital assets. Also included are capital leases or rental agreement. Improvements include any alterations or renovations that significantly increase the performance, value or capability of a capital asset or extend its useful or economic life by more than a year.
- **Grants and Contributions (G&C) - Vote 10**: largely, Canada's share of NATO infrastructure costs, as well as a variety of minor grants and contributions to the Security and Defence Forum and academic and defence institutions, cadet associations and the like.
- **Statutory (S)**: the employer's non-discretionary share of payroll costs such as pensions and employment insurance and any other legislated non-discretionary payments.

Level One Management Structure

1.4.4 The Department has assigned responsibility for the delivery of defence capabilities to Level One Managers, each entrusted with varying levels of resources.

Details with respect to the Level One management activities in the context of the DMS are provided in Chapters 4 and 5. The Level One management structure is outlined at Annex A to this chapter.

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Chapter 1, Part 5 - Defence Management System (DMS)

Introduction

1.5.1 The Defence Management System (DMS) is the departmental framework that ensures the effective and efficient delivery of the DSP. The DMS features clear strategic direction, defined resource levels and business planning as key tenets. The system provides managers with greater financial stability, increased control over expenditures and the flexibility to transfer funds from one resource planning element to another (principally through the business planning process).

Funds are allocated to Level One Managers who must operate within the resources allocated to them.

The basis of the **DMS** is the **PRAS**, which outlines the Departmental business lines and overall performance measurement strategy.

Two Objectives of the DMS

1.5.2 Two key objectives of the DMS are:

- to provide for the effective delivery of the approved program (the DSP) within the assigned resources provided to DND by Parliament
- to allow the Department to effectively manage with change

Making Decisions

1.5.3 In order to achieve these objectives, timely and effective decision-making is fundamental to the process and therefore DND/CF staff must be cognizant of the importance of providing relevant and reliable information in a timely manner to the appropriate decision makers.

Furthermore, in order to deliver the DSP within assigned resources, DND/CF staff must recognize the need to develop and implement trade-offs. This means that in order to undertake a new activity or project, some existing activity/project(s), which consume the same level of resources, must be curtailed or considered for deletion from their current program of activities/projects.

What does the DMS provide?

1.5.4 The DMS provides:

- a linkage between defence policy and Departmental planning
- an overall strategic resource management framework
- a Department-wide process for performance measurement
- a detailed framework for reporting to government

Policy Linkage

1.5.5 The Defence White Paper and other government policy statements provide direction and guidance to DND. DND/CF internal goals and priorities are approved by the DM and CDS, endorsed by Treasury Board (within the context of the PRAS) and communicated to Level One Managers in the Defence Planning Guidance.

Strategic Resource Management Framework

1.5.6 The strategic resource management framework is centred on the Defence Planning Guidance and the business plans, which support it. The DPG provides Level One Managers with five-year resource planning levels as well as strategic direction regarding capability requirements, priorities and performance measurement. Level One Managers use the planning levels identified in the DPG to produce business plans to match available resources with capabilities and outputs, and provide the means to monitor results.

Note:

While business plans focus on the next five years, Level One Managers are expected to have a much longer term vision.

Performance Measurement

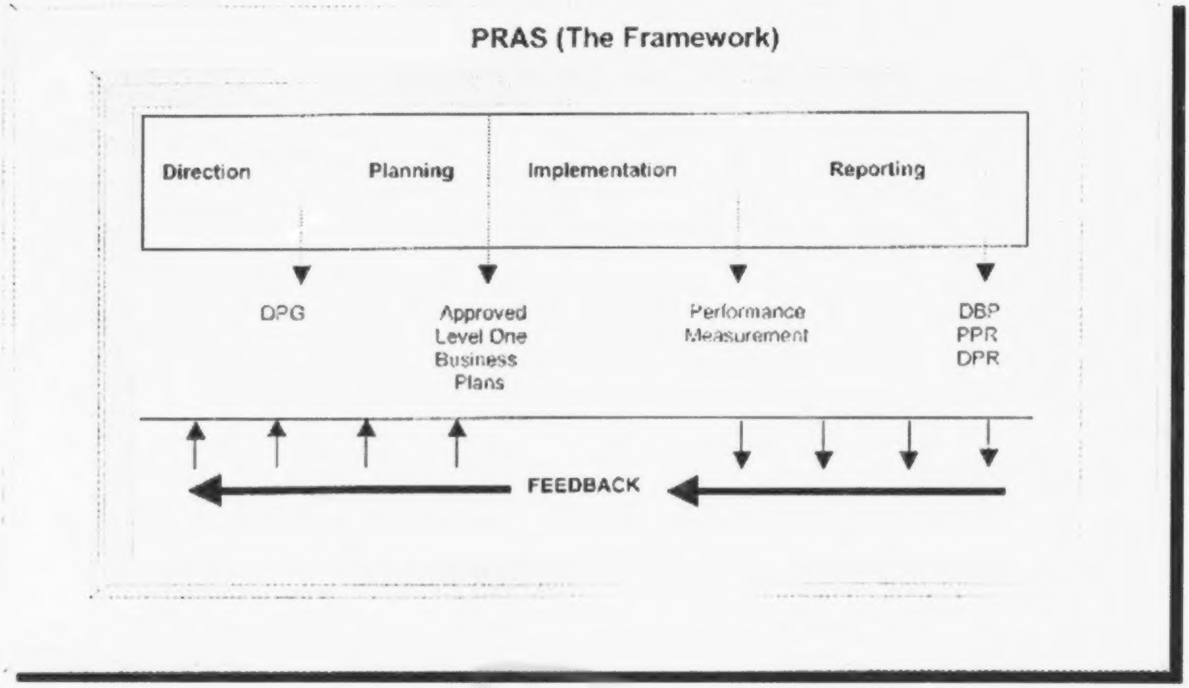
1.5.7. Performance measurement is an integral part of strategic management and the associated business planning process. Performance measurement contributes to increased accountability and an improved ability to manage risk. Performance measurement comprises the quantitative and qualitative assessment of results, where actual performance is compared against prescribed standards or benchmarks.

Reporting to Government

1.5.8 Reports to Government are shown in Part 2 of this chapter.

Graphic Representation of the DMS

1.5.9 The illustration below depicts the DMS process. It is important to understand that the PRAS is just the framework within which the Department has advised TB that it will report. The Department "defines" the framework.


PRAS (The Framework)
Direction
Planning
Implementation
Reporting
DPG
Approved Level One Business Plans
Performance Measurement
DBP
PPR
DPR
FEEDBACK

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Chapter 1, Annex A - Level One Management Organization

Level One Management Organization

A Level One Manager is required to submit a business plan for DM/CDS approval on an annual basis. Assigned resources must be managed in accordance with the approved plan.

The following list identifies the Level One Management organizations responsible for planning and managing the delivery of defence capabilities within assigned resource levels:

- **CMS – Multi-purpose Maritime Forces.** Maritime operational and support elements including assigned infrastructure.
- **CLS – Multi-purpose Land Forces.** Land Force operational and support elements including assigned infrastructure.
- **CAS – Multi-purpose Air Forces.** Air operational and support elements including assigned infrastructure.
- **DCDS – Joint Operations, Intelligence, Geomatics, Operational Research and Civil Emergency Preparedness.** DCDS Group functions, operation and support elements and assigned infrastructure.
- **NORAD – NORAD OUTCAN.** Support elements associated with NORAD outside of Canada.
- **CFNA – Canadian Forces Northern Area.** CFNA operational and support elements including assigned infrastructure.
- **DISO – Communications and Information Management.** Departmental information management functions including assigned infrastructure; plus the joint Signals Intelligence and Electronic Warfare (SIGINT/EW) agencies.
- **ADM(Mat) - Materiel Functions.** ADM(Mat) functions, support elements and assigned infrastructure.
- **ADM(IE) - Infrastructure and Environment Functions.** ADM(IE) functions, support elements and assigned infrastructure.
- **ADM(HR-Mil) - Military Personnel Functions.** ADM(HR-Mil) functions, support elements and assigned infrastructure.

- **ADM(HR-Civ) - Civilian Personnel Functions.** ADM(HR-Civ) functions, support elements, and assigned infrastructure. (submitted as part of ADM(HR-Mil)'s Business Plan)
- **ADM(FinCS) - Finance and Corporate Services Functions.** ADM(Fin CS) functions, support elements and assigned infrastructure.
- **ADM(Pol) - Policy Functions.** ADM(Pol) functions.
- **VCDS – Vice Chief of the Defence Staff Group.** VCDS Group functions, support elements and assigned infrastructure. The VCDS Business Plan includes financial reports for the offices of the MND, CDS, DM and Ombudsman.
- **CRS – Chief Review Services.** CRS functions.
- **JAG – Judge Advocate General.** JAG military legal functions.
- **DND/CF LA – Legal Advisor.** DND/CF LA non-military legal functions.
- **CMJ – Chief Military Judges.**CMJ functions
- **DGPA – Directorate of Public Affairs.**DGPA functions.
- **CSE – Communications Security Establishment (CSE).** CSE functions.
- **NSS – National SAR Secretariat (NSS).** NSS functions

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Chapter 2 - Strategic Level Committee Structure

Overview **2.0.1** Within the Defence Management System framework, the VCDS has been identified as the Departmental Strategic Resource Manager. As such, all formal decisions regarding strategic resource allocation rest with the VCDS.

The VCDS arrives at these decisions based on direction and/or advice provided through Strategic Level Committees. The Department's Strategic Level Committee Structure comprises:

- Defence Council (DC)
- Defence Management Committee (DMC)
- Program Management Board (PMB)

Other Senior Management Forums **2.0.2** In addition to the committees noted above, two other senior management forums exist within DND which will influence the decision-making process. These include:

- Armed Forces Council (AFC) which is a military body intended to provide advice to the CDS on broad military matters related to the command, control and administration of the CF
- Daily Executive Meeting (DEM) which provides a venue for the DM and CDS to meet with Level One Advisors and other officials to address ongoing operations and activities, emerging issues and other pressing matters

While important management tools, these advisory forums are not part of the formal strategic resource management framework and therefore cannot formally approve the allocation of strategic resources.

Other more specialized committees and boards, such as the Military Police Advisory Committee and the Audit & Evaluation Committee (AEC), address specific issues. See complete list at VCDS website: http://vcds.dwan.dnd.ca/dgsp/dmsmanual/SenExecComm/intro_e.asp

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In this chapter **2.0.3** This chapter describes the purpose, composition and functioning of the three strategic level committees. It is divided into the following parts:

Part	Title	Page
1	Defence Council	2-2
2	Defence Management Committee	2-4
3	Program Management Board	2-6
Annexes	Annexes A and B	2A and 2B

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Chapter 2, Part 1 - Defence Council (DC)

Purpose

2.1.1 Defence Council (DC) meets at the call of the Minister and is used to inform the MND regarding significant Departmental activities and emerging issues and to assist the MND in reaching decisions. In terms of the DMS, subject matter which could be addressed at DC include:

- policy development options
- strategic planning options, including Ministerial concurrence with the Defence Planning Guidance or Long Term Capital Plans
- reports on Departmental performance or other reports to Government

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Composition

2.1.2 DC is composed of:

Chair	Minister of National Defence (MND)	
Members	Parliamentary Secretary	
	DM	CDS
	VCDS	DCDS
	CMS	ADM(Pol)
	CLS	ADM(HR-Mil)
	CAS	ADM(HR-Civ)
	ADM(Fin CS)	ADM (Mat)
	DND CIO	ADM(IE)
	DGPA	
Secretary	D NDHQ Sec	
Other attendees -	DCD/CF LA, C Res & Cdts, JAG, DGIS(Pol), EA/MND and others as required	

Alternates

2.1.3 When members are unable to attend, they may be represented by their immediate deputy/Chief. Substitute representation below this level will not normally take place unless it is essential for the discussion. In this case, specific DM/CDS approval is required.

Meeting Schedule

2.1.4 Meetings are called at the discretion of the MND. Normally meetings with the Minister are limited to the DM and the CDS and one or two members depending on the issue.

Coordination

2.1.5 D NDHQ Sec provides support to Defence Council meetings.

Presentations

2.1.6 If required, oral briefings will be concise (normally not more than ten minutes). Direct recital of information contained in written submissions shall be avoided.

Supporting Documentation

2.1.7 Twenty copies of supporting documentation (including briefing notes and slides) shall be forwarded to NDHQ Sec Coordinator at least 10 working days prior to the meeting.

Record of Meetings

2.1.8 A Record of Decisions (ROD) of the meeting will be prepared and maintained by the Secretary. The ROD is only distributed on a "need to know" basis.

Point of Contact

2.1.9 For further information regarding the Defence Council contact D NDHQ Sec at 992-6091.

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Chapter 2, Part 2 - Defence Management Committee(DMC)

Purpose

2.2.1 Defence Management Committee (DMC) meets regularly and is co-chaired by the DM and CDS. It considers all management matters affecting the strategic direction of defence and enables the DM and CDS to reach decisions or to coordinate decisions and advice to the Minister. In terms of the DMS, subject matter considered at DMC include:

- Defence Planning Guidance (DPG) options and specific DPG direction
- aspects of the overall resource management framework
- mid-year and/or year-end corporate Performance Measurement results

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Composition

2.2.2 DMC is composed of:

Co-Chairs	DM	CDS
	VCDS	DCDS
	CMS	ADM(Pol)
	CLS	ADM(HR-Mil)
	CAS	ADM(Mat)
	ADM(Fin CS)	ADM(IE)
	ADM(HR-Civ)	ADM(IM)
		DGPA
	DND/CF LA	ADM(S&T)
Secretary	D NDHQ Sec	

In attendance JAG, CRS, DGSP, EA/DM and EA/CDS

Alternates

2.2.3 When members are unable to attend, they may be represented by their immediate deputy/Chief. Substitute representation below this level will not normally take place unless it is essential for the discussion.

Meeting Schedule

2.2.4 DMC shall meet at the call of either Chair, normally once a month.

Coordination

2.2.5 D NDHQ Sec provides support to Defence Management Committee meetings.

Submission Procedures

2.2.6 All submissions to DMC will be in the form of an **issue synopsis**, a clear, succinct and self-supporting document. The format for this document is detailed at Annex A.

Presentations

2.2.7 Oral briefings will not normally be required. If a presentation is required, it should be concise (normally not more than ten to fifteen minutes). The presentation should not repeat pre-meeting documentation. It should focus on key issues and conclude with a clear indication of the decision or action being sought.

Discussions at DMC that will impact resource allocation must state whether the resource issue has been resolved or that PMB consideration will be required.

Supporting Documentation

2.2.8 Twenty-five copies of supporting documentation shall be forwarded to NDHQ Sec Coordinator no later than 10 working days before the meeting. A briefing "deck" containing the graphics or slides to be used should be provided. The briefer's notes (text) need not be included and, where possible, should be printed as a handout (two slides per page and double sided).

Record of Meetings

2.2.9 A Record of Decisions (ROD) of the meeting shall be prepared and maintained by the Secretary. The ROD is distributed to all members.

Point of Contact

2.2.10 For further information regarding Defence Management Committee contact D NDHQ Sec at 992-6091.

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Chapter 2, Part 3 - Program Management Board(PMB)

Purpose

2.3.1 Program Management Board (PMB) meets regularly and is chaired by the Vice Chief of Defence Staff (VCDS). PMB is used to provide resource management oversight. It is organized to support the VCDS in coordinating the delivery of the Defence Services Program (DSP) as outlined in the Defence Planning Guidance (DPG) document. In terms of the DMS, subject matter considered at PMB include:

- structure or resource options for inclusion in draft Defence Planning Guidance and Long Term Capital Plans
- in-year resource management issues related to the implementation of the DPG and business plans (including performance measurement data)
- the Department□s Long Term Capital Plan (LTCP), strategic projects and any projects which are not contained in an approved LTCP
- Financial Status Reports (FINSTAT)
- resource matters arising from changes in Government policy and/or direction, decisions taken by the DM/CDS or unforecasted taskings which cannot be funded using established reserve funds
- other matters as directed by the DM/CDS

Composition

2.3.2 PMB is composed of:

Chair	VCDS	
Members	CMS	DCDS
	CAS	ADM(Pol)
	CLS	ADM(HR-Mil)
	ADM(Fin CS)	ADM(Mat)
	ADM(IM)	ADM(IE)
	ADM(S&T)	ADM(HR-Civ)
	DGSP	
Executive Secretary		DFPPC

Normally the following individuals are in attendance:

- CRS
- DGPA
- DG Fin

Alternates

2.3.3 When members are unable to attend, they may be represented by their immediate deputy/Chief. Substitute representation below this level will not normally take place unless it is essential for the discussion.

Meeting Schedule

2.3.4 PMB shall meet at the call of the Chair, normally on the second and/or fourth Thursday of each month.

Coordination

2.3.5 DFPPC Coord coordinates PMB meetings.

Sponsoring Items

2.3.6 Items are submitted to PMB by the Sponsoring Member of the Board. The following approach is to be used:

- large documents or reports, such as an LTCP, are submitted by the Sponsor under cover of a one page MEMORANDUM TO PMB
- reports in the form of Briefings to PMB (e.g. the Mid-year report, Year End Report, Personnel Status Reports) require no covering documentation
- non-strategic Synopsis Sheets - Preliminary Project Approval (PPA) or Effective Project Approval (EPA) - out-of-cycle with the submission of the LTCP(E), are tabled as necessary. No covering MEMORANDUM TO PMB is required as the Synopsis Sheets itself is a summary for decision making
- Synopsis Sheets (PPA or EPA) for Strategic projects are tabled at PMB. No covering MEMORANDUM TO PMB is required as the Synopsis Sheet itself is a summary for decision making
- any other items/issues are to be submitted under cover of a MEMORANDUM TO PMB prepared by the Sponsor

Guidelines for the preparation of a Memorandum to PMB are provided at Annex B.

Supporting Documentation

2.3.7 Documents intended for PMB consideration will be submitted to the DFPPC Coord (hard copy with original signature of PMB member sponsoring the item, plus an electronic copy for distribution) a minimum of 15 working days prior to the intended PMB meeting. This lead time is required to ensure the documents can be distributed and reviewed by PMB members prior to the scheduled meeting.

Non-briefed Submission

2.3.8 Most submissions and accompanying documentation should be sufficiently clear to permit PMB discussion following brief introductory comments by the Chair and/or Sponsor. Accordingly no briefing will be required.

Briefings in Support of Submissions

2.3.9 Where the complexity of the issue warrants an oral presentation, DFPPC Coord will be provided an electronic copy of the intended briefing (or 30 hard copies in "handout format") 10 working days before the meeting for distribution to Members.

Secretarial Approvals

2.3.10 When a submission is straightforward and low-risk, the VCDS may refer the issue to PMB members secretarially. In such cases, members will generally be allowed 10 working days to consider the proposal before it is deemed approved. In rare circumstances, it may be necessary to approve projects secretarially without the benefit of the consideration period; however, in such cases, this will be clearly highlighted in the approval memorandum. To provide an "audit trail", decisions made using the Secretarial Approval process will be read into the minutes at the next PMB meeting.

Preliminary Record of Decision

2.3.11 A Preliminary Record of Decision (PROD) will normally be issued within one day of the PMB meeting. The purpose of the PROD is to give advance notice to NDHQ staff at the Director level of decisions taken at PMB and any staff action that may be required. While the PROD may be used to initiate further staffing, it is not considered to be authoritative.

Minutes and Records

2.3.12 Draft minutes will generally be provided to PMB members within two weeks of the meeting. If no concerns are raised within 10 working days, the minutes will be approved secretarially by DFPPC Coord. Minutes and other records of PMB will be maintained by DFPPC Coord.

Point of Contact

2.3.13 For further information regarding Program Management Board contact DFPPC Coord at 996-9033.

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Chapter 2, Annex A - Issue Synopsis

Length The Issue Synopsis should be one to three pages (single-spaced, 8 1/2 by 11") in length, with a one page communications approach annex, where necessary. The format is as follows:

ISSUE SYNOPSIS

TITLE SPONSOR

The subject of the synopsis, and the OPI/sponsor.

ISSUE

A succinct statement of the issue, usually one or two lines in length.

RECOMMENDATIONS/DECISION REQUESTED

A clear statement of the decision(s) sought and direction for implementation.

DISCUSSION

A discussion of the proposal to include its rationale, underlying assumptions and description of consultation/concurrence with stakeholders.

SUMMARY OF OPTION ANALYSIS

A summary of the options considered, including reservations and objections raised during consultation with other parties. The deductions should clearly justify the selected course of action and outline proposed implementation modalities. This section will also confirm that resource and business case/cost-benefit issues have been addressed and that the proposal is affordable as presented.

COMMUNICATIONS APPROACH ANNEX

The sponsor, with the assistance of DGPA, should prepare a communications approach, as an annex. If a communications approach is not required, a statement of DGPA concurrence is required. The Annex should use the following format:

Subject:

Identify the specific issue, program, or event addressed by the plan.

Date: **Draft Number:**

Aim:

Identify the PA objectives to support implementation of the program or event, or manage the identified issue.

Background:

Provide a brief description of the program, event or issue.

Activities:

Identify the PA activities to support the program, event or issue management activities.

Products:

Identify PA products and materials.

Minister:

Identify products and activities for the Minister.

References The following references apply:

- Memorandum 1180-1 (VCDS) 29 May 1996: Direction for Documentation, Senior Management Meetings
- DAOD 2008-5, Public Affairs Planning and Program Delivery

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Chapter 3 - Defence Planning Guidance(DPG)

Overview

3.0.1 The Defence Planning Guidance (DPG) is the primary Departmental document which provides annual guidance to Level One Managers on planning for the acquisition, organization and maintenance of the military capabilities required to fulfil defence policy.

It is the principal means of translating broad government policy, expressed primarily through the current Defence White Paper, into capabilities required to support that policy and for introducing changes to the Defence Services Program (DSP).

Purpose of Chapter

3.0.2 This chapter describes the purpose of the Defence Planning Guidance document, the process used to develop it and the organizations involved in its development.

In this chapter

3.0.3 This chapter is broken down into the following parts:

Part	Title	Page
1	The Defence Planning Guidance Document	3-2
2	Development process for the DPG	3-3
3	DPG Estimates Cycle	3-7
4	Organizational Responsibilities	3-8
5	Program Adjustments	3-9

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Chapter 3, Part 1 - Defence Planning Guidance Document

Purpose

3.1.1 The Defence Planning Guidance (DPG) document is issued on an annual basis under the joint signature of the DM and CDS to provide strategic direction and define resource levels to Level One managers and assist them in the development of their Business Plans.

The DPG provides the DM and CDS the opportunity to articulate a joint perspective on the Department and the Canadian Forces in terms of current challenges and priorities.

It further communicates the Department's vision and articulates the broad defence missions as derived from the current Defence White Paper and other defence policy sources, defines the resource levels for the forthcoming 5-year planning timeframe and establishes the performance measurement framework to be used for the coming review period.

The DPG seeks to direct and guide Level One managers towards the creation of an affordable and properly balanced Defence Services Program; one which links the missions, resources and expectations of the Department.

Document Structure

3.1.2 The DPG document is structured as follows:

- Chapter 1 – Strategic Overview
- Chapter 2 – Strategic Direction
- Chapter 3 – Missions, Objectives, Key Results and Expectations
- Chapter 4 – Resources and Affordability
- Chapter 5 – Performance Measurement

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Chapter 3, Part 2 - Development Process for the DPG

Process Steps

3.2.1 The development process for the DPG comprises a number of steps:

- Review of geo-strategic and military assessments
- Development and analysis of scenarios
- Development of program options
- Selection of preferred option
- Approval and release of the DPG

Step 1: Conduct of Assessments

3.2.2 The first step in the development of the DPG requires the review of assessments: geo-strategic and military. These reviews are conducted by DGSP/DDA in conjunction with information provided by Level One organizations with respect to their specific areas of responsibilities.

- Geo-strategic Assessment This assessment evaluates geo-strategic trends and threats, examines current commitments, and the resources (including trends in personnel, materiel and budget) deemed essential to meet those commitments. Level One Management organizations are requested to assess trends and issues within their areas of responsibility to assist in developing an overall, all encompassing assessment

- Military Assessment A parallel military assessment examines overarching trends in technology, doctrine and organizational structures that could have an impact on the way future forces will be organized, trained and equipped to meet commitments and obligations

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Step 2: Development and Analysis of Scenarios

3.2.3 The next step in the process is the development and analysis of force structure scenarios which will identify:

- Scenario-based Long Range Analysis This analysis employs an approved set of force planning scenarios, which are representative of the tasks/missions enunciated in the Government Defence Policy. The scenarios serve as a means to identify required defence capabilities, and will enable the CF to balance future force requirements against available resources, thereby ensuring realistic force development priorities consistent with evolving trends

- Capability Based Analysis To establish a comprehensive and consistent approach to force planning, departmental scenarios are being introduced as a key force development tool. They are intended to assist in providing coherence and discipline to both short and long term DND/CF force development planning activities. Capability-based, scenario-supported analyses will facilitate the identification of environmental and joint capability requirements, promote trade-offs in efficiencies and assist planners in developing short as well as long-term force planning goals at the strategic and operational levels

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Step 3: Development of Options

3.2.4 The Director of Force Planning and Program Coordination (DFPPC), compares previous DPG direction against the capability objectives, Level One Business Plans and performance reports. This evaluation will determine whether adjustments are required to planning allocations in response to capability shortfalls and/or whether key results and expectations require revision. This leads to broad options which require development.

Step 4: Inputs to the Option Development Process

3.2.5 The following inputs contribute to the development of force planning and affordability option development for the DPG:

- an analysis of capabilities required by the CF to support existing government policy and defence policy
- an analysis of emerging trends in the geo-strategic environment, including threats and developments that may require new or additional levels of capability
- an assessment of the ability of the current DSP to deliver the required level of capability
- the review of the Level One Business Plans and proposals for change and /or requests for flexibilities
- the review of the Level One biannual performance reports to compare performance to resource allocation and alignment with defence missions and the achievement of key results and expectations
- the annual federal budget
- a review of issues and expenditure trends

Step 5: Refinement of Options

3.2.6 DGSP refines force planning and resource affordability options that best meet the requirements and realities of Government Policy, the Strategic Assessment, the Vision and Mission of DND/CF, and the flexibilities desired by the Level One organizations to best accomplish the Defence Objectives and provide the capabilities demanded of them.

Options may be expressed in terms of any one or combination of the following resource/capability models:

- adjustment of the balance of resources allocated to Personnel, O&M and Capital

- a redistribution of resources between or within the Level One organizations, a change of expectations in terms of capability, readiness, deployability or sustainability, and/or a change in missions given to the Level One organizations
- a directed change to force structure
- a directed change in DND/CF priorities

Step 6: Selecting a Preferred Option

3.2.7 Information briefs are prepared by DGSP staff for the VCDS who then provides direction regarding which initial option(s) is/are to be developed in detail for eventual presentation to the CDS and DM. Prior to presentation to the CDS and DM the VCDS may direct that the option(s) be staffed to the Level Ones for impact assessments. The CDS and DM may decide upon the best option at this point, or they may use the forum of DMC to present the preferred DPG option for discussion or endorsement. Once endorsed, the staffing of the DPG can continue to completion.

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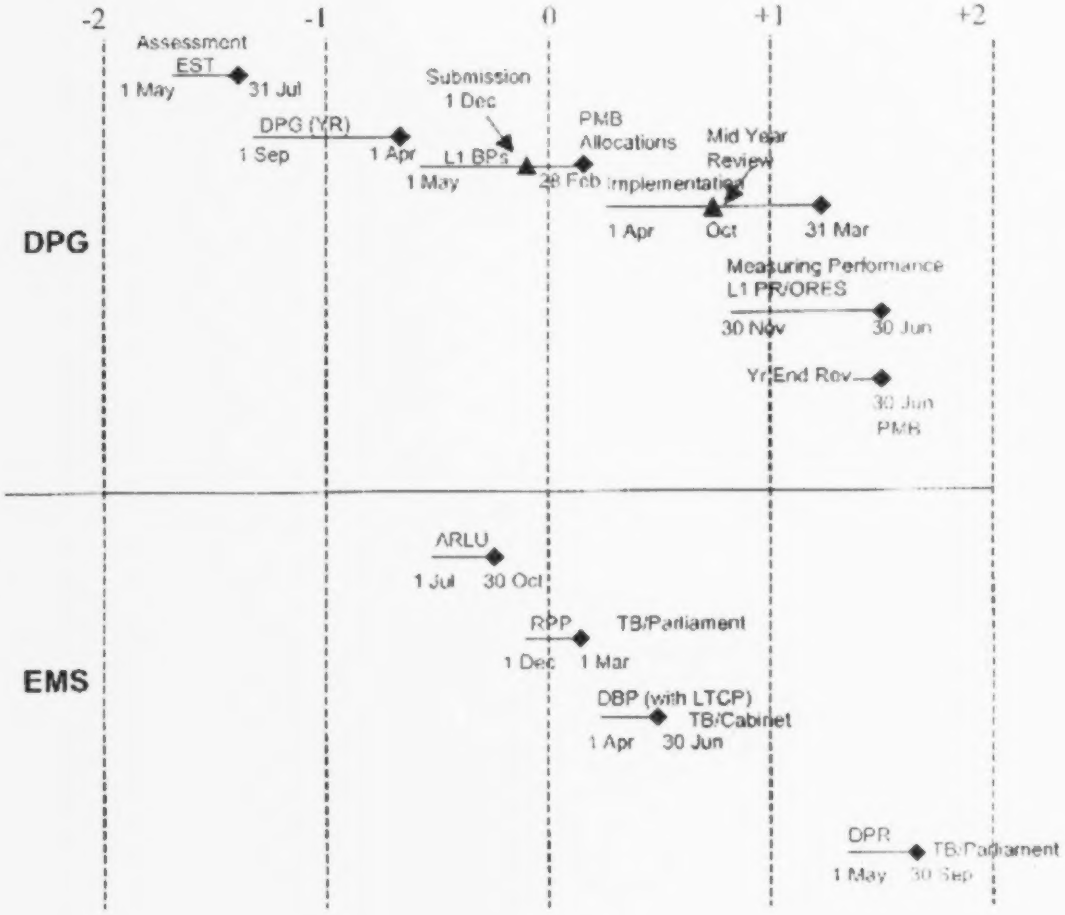
Chapter 3, Part 3 - DPG Estimates Cycle

DGP Cycle **3.3.1** The following illustrates the DPG cycle as it relates to the EMS system.


-2
-1
0
+1
+2
DPG
Assessment
EST
1 May
31 Jul
DPG (YR)
1 Sep
1 Apr
Submission
1 Dec
L1 BPs
1 May
28 Feb
PMB
Allocations
Mid Year
Review
Implementation
1 Apr
Oct
31 Mar
Measuring Performance
L1 PR/ORES
30 Nov
30 Jun
Yr End Rev
30 Jun
PMB
EMS
ARLU
1 Jul
30 Oct
RPP
TB/Parliament
1 Dec
1 Mar
DBP (with LTCP)
TB/Cabinet
1 Apr
30 Jun
DPR
TB/Parliament
1 May
30 Sep

1 May (-2) to Sep (+2) = 40 months

DPG Context **3.3.2** At any one time, a DPG is either in development, in implementation or being assessed in the context of performance measurement.

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Chapter 3, Part 4 - Organizational Responsibilities

Coordinator

3.4.1 While all organizations have input into the DPG, the development and writing of the document is executed by the Director General Strategic Planning (DGSP) staff who coordinate and consult with Level One Managers. More specifically, the following DGSP directorates play specific roles in the development of the DPG:

- Directorate Defence Analysis (DDA)

  Coordinates the assessment of trends and issues specific to each Level One management organization and performs the analysis of these assessments

- Directorate Force Planning and Program Coordination (DFPPC)

  Coordinates the overall process, develops DSP options and drafts DPG for submission through the VCDS for the consideration of the DM and CDS. DFPPC also writes the Departmental Performance Report, which effectively closes off one DPG cycle.

Approving the DPG

3.4.2 Once the DPG is developed in detail it is forwarded to the DM and CDS for approval.

The DPG document is then issued to all Level One Managers under the joint signatures of the DM and CDS.

Access to the DPG

3.4.3 The Defence Planning Guidance (DPG) document is available in electronic format by accessing the VCDS intranet site:

http://131.134.112.25/dgsp/dpg/intro_e.asp

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Chapter 3, Part 5 - Program Adjustments

Program Adjustment

3.5.1 A program adjustment alters the DPG allocations permanently or for a specified time period.

Authority for Adjustments

3.5.2 Significant adjustments will be made by the DM/CDS (PMB/VCDS as their representatives) as part of the DPG development process. Such changes will be captured in the DPG allocation tables. However, there may be cases when, outside of the DPG development process, a Level One Advisor recognizes that a "program adjustment" is necessary.

PMB must be advised.

3.5.3 It is essential that PMB be made aware of all program adjustments. If Level One Advisors agree to a program adjustment, the losing sponsor will notify PMB. Should the adjustment effect the current fiscal year, that adjustment will be captured through the Financial Status Report sponsored by ADM(Fin CS) at all PMB meetings. The Level One Advisors involved are responsible to provide PMB with an explanation as required.

Guidelines for advising PMB

3.5.4 The following table provides guidance as to the timing for PMB notification.

Budget Adjustment	PMB is notified	Example
Corporate to Corporate	In advance of change	ADM(Mat) proposes to move funds from National Procurement to Capital.
Corporate to Operating (same CC)	In advance of change	ADM(HR-Mil) proposes to move Cost Move funds to his Operating Budget.

Corporate to Operating (different CC)	In arrears	ADM(IE) and CMS move funds between their Construction accounts.
Operating to Corporate	In arrears	CAS moves MR funding to augment his non-strategic capital.
Operating to Operating	In arrears	CMS and CAS agree on a transfer of responsibility for Sea Kings' AVPOL.

Notifying PMB in advance

3.5.5 PMB will be notified in advance via a Memorandum to PMB (see Chapter 2), prepared by the Sponsor of the change. It will be tabled at the appropriate meeting and once PMB has noted the change, DB will update affected tables and reflect the change in the next FINSTAT, if required.

Notifications in Arrears

3.5.6 Inter-Level One Manager transfers will be effected via a memo signed off by all parties involved. For example, both CLS and ADM(Mat) would be signatories on a memo transferring funds between the two organizations.

For future year adjustments, this memo would be submitted to ADM(Fin CS)/DB for further action. An information copy must also be sent to DGSP.

For current year adjustments, notifications in arrears to PMB will be effected via the Financial Status Report prepared by ADM(Fin CS). The Level One Managers involved in budget adjustments will provide an explanation of the change to PMB, if requested.

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Chapter 4 - Business Planning

Introduction

4.0.1 Business planning has been introduced into government to facilitate clear accountabilities and efficiencies in the management of public resources. In the DND context, business planning makes it easier to link accountability, responsibility and authority for defence outcomes and outputs with associated Level One Managers and their assignment and use of resources.

Purpose of Chapter

4.0.2 This chapter describes the process by which Level One Managers respond to the direction in the Defence Planning Guidance (DPG) to develop their Business Plans.

Business Planning Caution

4.0.3 Within DND/CF, there are limits to the full implementation of business planning, as might otherwise be expected in the average profit conscious company. One major difference is the degree of corporate decision making in DND, as opposed to full devolution and delegation to business planning units.

All business planning staff in DND must recognize the need for a corporate perspective, since our outcomes have national implications and are not simply related to corporate or military health. One cannot take the simplistic position that what is good for soldiers, sailors and airmen, will easily translate into satisfaction for Canadian citizens in general.

Staff must also appreciate that DND/CF responds to and actively pursues all Government objectives and priorities, not just those more clearly defined as "military". This could result in a militarily sound recommendation being rationalized against a nationally preferred solution.

In this chapter

4.0.4 This chapter is broken down into the following parts:

Part	Title	Page
1	Level One Business Planning Process	4-2
2	Business Plan Format	4-7

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Chapter 4, Part 1 - Level One Business Planning Process

Overview

4.1.1 Level One Business Plans clarify objectives and priorities over a five year period, link activities with resources and describe the framework to report results achieved. The Level One plan establishes a delivery contract between a Level One Manager and the CDS and DM.

Business planning is the vehicle by which Defence program objectives at all levels will be planned, organized and implemented, and by which resources will be prioritized and allocated. Business planning provides the framework for greater delegation. Its principles include greater flexibility, quantifiable standards, and the scope to consider alternatives and to make trade-offs while retaining the benefits of those decisions.

Business planning encourages a results-oriented management style in all DND operations and support activities. The focus is operationally oriented, identifying what the tasks are and what can be done to fulfil them within the allocated resources to achieve the desired defence outcomes. DND business planning is a dynamic, cyclical process which provides the department with a rolling five-year implementation plan of the Defence Planning Guidance (DPG).

Business Plan Resources

4.1.2 The resources available to the business planner are shown, in detail, in the resource tables of the DPG. The business plan must clearly outline how these resources will be used and how the desired performance will be achieved within these resource limits.

The Operating Budget

4.1.3 The operating budget identified in the DPG resource tables shows the resources (dollarized in the case of personnel) for which the Level One Manager is directly accountable and for which there is fully devolved decision making authority.

***A Note about Revenues**: The Department develops an estimate of the revenue to be received and develops a corporate revenue plan based on this estimate. In principle, the business plan, which generates the revenue, gets the benefit; however, there are some constraints on this principle. Operating budgets will be adjusted for the revenue potential and the Level One Manager may plan to the revenue amount identified in the resource table of DPG.*

More on Revenues

4.1.4 Recognition of Departmental revenue is becoming increasingly important. The principles and constraints on revenue retention/management will be contained in DAOD 1012-3: Managing Departmental Revenue, which is being developed. Currently the policy and accounting procedures which enable departmental budget managers to retain revenues are described in Financial Administrative Directive 54: Retention of Local Revenue. Business planners must consult these documents and conform to the principles and directions therein.

Apportioned Corporate Accounts

4.1.5 The apportioned corporate accounts identified in the DPG resource tables show those portions of these accounts over which the Level One Manager has direct influence, but has limited or no authority to make binding decisions.

Business Planning and Performance Measurement

4.1.6 The business plan is a concise statement of how the subordinate organization will contribute to the Department's objectives within existing financial constraints. Performance measurement is the heart of a business plan. Each plan will state how the missions, objectives and key results will be achieved to the expectations directed in the DPG.

The evolution and continuous improvement of business planning will enable more accurate attribution of costs to outputs and outcomes, more responsive management of resources, the assignment and measurement of achieveable standards of success and the clarification of accountabilities.

Business Planning Process

4.1.7 The business planning process comprises three essential components:

- approved Defence Planning Guidance, upon which the department bases in-year and future year changes
- a set of agreed principles and processes
- a performance measurement and reporting process based on the Treasury Board approved Planning, Reporting and Accountability Structure (PRAS)

Staffing Milestones

4.1.8 The table below outlines the key staffing milestones of the business planning process:

Time	Action
April	Defence Planning Guidance (DPG) published
1 December	Level One Business Plans due to VCDS

December/ January	Business Plans Review Team (BPRT) review and briefings to VCDS, DM/CDS
February	Business Plans approved by DM/CDS (Interviews)

Business Plan Assessment

4.1.9 Level One Business Plans are based on performance expectations and resource levels for operating budgets, corporate accounts and apportioned corporate accounts as expressed in the DPG. Once approved, business plans form the foundation for management of the Department, assessment of in-year adjustments and preparation of year-to-year resource plans. The analysis of Level One Business Plans will assess the degree to which the plans correspond to the DPG using the following criteria:

- **Accountability**: Does the plan clearly link resources and responsibilities and describe a framework for monitoring performance?
- **Affordability**: Is the plan funded/can it be funded consistent with departmental priorities?
- **Achievability**: Is the plan doable/realistic and does it reflect departmental timeliness and priorities?
- **Strategic Fit**: Is the plan consistent with the strategic direction provided and is the fit clear?

Business Plans Review Team

4.1.10 The Business Plans Review Team (BPRT) consists of the key central staff who review the business plans as described above. Their analysis is focussed on those issues and proposals that may impact on the approval of the plans and the development of future strategic direction. The consolidated review summary is provided to both Level One Managers and the DM/CDS.

BPRT Membership

4.1.11 BPRT membership is indicated below:

Chairperson	DFPPC
Deputy Chairperson	DFPPC 7
Members	All DFPPC Level One Analysts Specific and Corporate DFPPC/ORES and DFPPC 8 DGSP/DDA DGPM/D Per Plan DGMCBM/DMG Compt DG Fin/DB DGRPP/DRAP DGMRS/ASD DGIMOSD/DIMSD CRS/Plans

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Approval Process

4.1.12 The CDS and DM will conduct Business Plan approval interviews with each Level One Manager annually in February. This approval is for the first year of the plan only, but it provides the opportunity for Level One Managers to seek approval of proposed changes or requests for strategic flexibilities beyond year one of the plan, and to influence the development of strategic direction options for the next DPG.

Business Plan Adjustments and Authority

4.1.13 Once the business plan is approved, there will not normally be changes to the assigned resources for the current year. As a consequence of this constraint, significant changes to outputs and priorities, whether arising from an internal initiative or from externally generated direction, must seek CDS/DM concurrence. However, Level One Managers may make internal adjustments to their resource allocations or apportionments and/or negotiate loans or transfers from other Level One Managers or from corporate accounts.

For a detailed discussion on moving funds from one organization to another, or between accounts, see Chapter 3, Part 5.

In-Year Performance Monitoring Process

4.1.14 Several performance monitoring and decision-making tools (such as Peoplesoft, ORES and FMAS) are available to assist Level One Managers in reviewing the outputs for which they are accountable and to make appropriate adjustments. Results are reported as a feedback mechanism within the DPG development cycle. These Performance Reports are described in Chapter 5 and are not to be confused with the Performance Monitoring requirements described in the table below. OPIs are to determine the detailed content and format of these reports. Responsible staffs will submit reports to PMB via the VCDS/DGSP.

Category	OPI	Schedule	Purpose
FINSTAT	ADM(Fin CS)	Monthly	Actual and forecast status of the overall Departmental Financial Accounts
Mid-year Report on Corporate Accounts	ADM(Fin CS)	October	Summary of mid-year status of all corporate accounts
Account Manager Reporting Corporate Accounts > $100M	ADM(Fin CS), ADM(Mat), ADM (HR-Mil), VCDS/Cadets and ADM(Fin CS)/NATO	October	Status and forecast of expenditures from these accounts. Presented at the same time as the Mid-year Report

Final Report DND Expenditures	ADM(Fin CS)	June	Performance of expenditures against allocations for previous year for all accounts
Personnel Forecast	ADM(HR-Mil/Civ)	October and end year report	Status and forecast of the personnel strength
ORES	VCDS	Monthly	Report on Operational Readiness of the CF to the CDS
Other and special Programs	DGMRS and corporate OPIs	As required	Other Departmental reporting requirements as mandated by government such as: IM/IT, resource reductions, environment, official languages and employment equity.

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Chapter 4, Part 2 - Business Planning Format

Business Plan Template

4.2.1 While the content of Level One Business Plans will vary depending upon individual circumstances, they will follow the format of the Level One Business Plan Template. Business plans should also be as clear and brief as possible.

The Level One Business Plan Template is available in electronic format from DGSP/DFPPC 7.

The OPI for the template is DFPPC 7, and updates or amendments are made annually to reflect changes in strategic direction and business planning requirements.

These are the final version of Level 1 Business Plans and Strategic Letters for FY 2000/2001 to 2002/2003. Please note that these documents are provided in English only. http://vcds.dwan.dnd.ca/dgsp/level1bcp/intro_e.asp

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Chapter 5 - Performance Measurement

Introduction

5.0.1 The basis of performance measurement at DND is the departmental Planning, Reporting and Accountability Structure (PRAS). The PRAS describes an outcomes-based performance measurement and reporting framework along business lines or Defence Missions.

This chapter describes a management approach that is results-oriented (as opposed to a focus on the process or activities carried out by program administrators) and that has monitoring mechanisms in place to report on performance. The focus on results and the ability to measure performance using indicators and standards are two basic requirements in the development of the departmental PRAS.

Performance Measurement

5.0.2 Performance measurement within DND/CF is a process of assessing progress toward achieving the Objectives. It includes information on the efficiency with which resources are transformed into outputs (capabilities and support services) by the Level One Managers, the quality of those outputs (how well they are delivered and the extent to which the Objectives are satisfied) and the outcomes (the result of output activities compared to their intended purpose), and the effectiveness of operations in terms of their specific contributions to Objectives.

PRAS

5.0.3 The Planning, Reporting and Accountability Structure is a planning framework document prepared by DGSP/DFPPC and submitted to the Treasury Board for approval. Once accepted by the TB, it forms the basis for ongoing performance measurement at DND/CF. See Chapter 1, Part 3 for more details.

In this Chapter

5.0.4 This Chapter is broken down into the following parts:

Part	Title	Page
1	Performance Measurement Strategy	5-2
2	Performance Measurement Framework	5-4
3	Operational Readiness and Effectiveness System	5-11

4	Reporting Requirements	5-13

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Chapter 5, Part 1 - Performance Measurement Strategy

Overview

5.1.1 DND reports results based upon the three Defence Missions assigned by the Defence White Paper: Defending Canada, Defending North America, and Contributing to International Security. Each Defence Mission is segmented into Objectives which broadly describe what is to be accomplished, and Key Results which help further refine the Objectives by assigning measurable performance expectations. Level One Manager outputs are aligned against these Objectives and the Key Results.

Performance measurement in DND/CF is based on outcomes; it focuses on the effect expenditures and activities have towards achieving the Defence Missions. This requires the Department to concentrate its efforts on activities and processes that contribute to the achievement of desired outcomes.

Defence Missions and Outcomes

5.1.2 The Department reports to Treasury Board and Parliament on all activities, processes and resources associated with the Defence Services Program against the three Defence Missions. Each Defence Mission has outcomes associated with it. These are the desired results of having conducted activities and used resources. The outcomes are as follows:

- **Defending Canada** - Canada's national territory and areas of jurisdiction are defended; national interests are protected and sustained by assisting civil authorities; an appropriate level of emergency preparedness across Canada is ensured; and effective assistance is provided in national emergencies
- **Defending North America** - Canadian approaches to the continent are protected in partnership with the United States, particularly through NORAD; Arctic security is promoted; and opportunities for defence cooperation with the US in other areas are pursued
- **Contributing to International Security** - A full range of multilateral operations through the UN, NATO, other regional organizations, and coalitions of like-minded nations are conducted as required; humanitarian relief efforts and the restoration of conflict-devastated areas are supported; and participation in arms control and other confidence-building measures is maintained

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Objectives and Key Results

5.1.3 Each of the Defence Missions is segmented into Objectives which are statements of the activities required to accomplish the Defence Mission. They are achievable by the Department over the medium to long term but may require some adjustment to resources allocations to be fully achievable. To allow Level One Managers to determine the progress of their outputs towards achieving the Objective, each Objective is assigned Key Results which are tangible outcomes that are achievable within the planning period and within current resources.

Examples of Objectives and Key Results

5.1.4 A complete list of Objectives and Key Results associated with each Defence Mission is presented in the annual Defence Planning Guidance publication prepared by DGSP/DFPPC.

The following are examples of Objectives and Key Results:

1) Defence Mission - **Defending Canada**:

- **Protect Canadian Sovereignty** - Effective monitoring of Canadian territory and responding effectively to incursions

2) Defence Mission - **Defending North America**:

- **Interoperability with US Military Forces** - Effective interoperability with US Forces. Treaty and other obligations are met so that threats to North America are detected and resolved

3) Defence Mission - **Contributing to International Security**:

- **Protect and Evacuate Canadians Abroad** - Requests by DFAIT for the protection and evacuation of Canadian civilians are responded to in a manner commensurate with the particular situation, resulting in the safe recovery of affected Canadian citizens

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Chapter 5, Part 2 - Performance Measurement Framework

Introduction

5.2.1 The Performance Measurement Framework is based upon the three Departmental Missions described in Part 1 of this chapter.

There are three broad elements in the framework: Measures, Indicators and Standards. They are defined as follows:

- Measures are attributes that must be analyzed to determine whether the expected results are being achieved
- Indicators are aspects of the measures that are to be assessed
- Standards are the quantitative targets or qualitative goals to be achieved

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Measures, Indicators and Standards

5.2.2 Measures, Indicators and Standards are established at all levels so that performance can be planned for and evaluated across the depth and breadth of the organization. Not all of this detail is required for every successive level of management.

In order for performance measurement to remain manageable, Level One Managers must establish meaningful indicators and standards for each measure against which the effectiveness and efficiency of subordinate levels can be assessed.

Measurement Against Standards

5.2.3 Measurement of performance against standards allows for:

- comparisons of actual against planned performance
- corrective action to be taken either through adjustments to resource levels, amendment to priorities, or combination thereof
- establishing accountability for individual managers

Standards can be determined based on the following:

- strategic analysis
- process and activity analysis
- best practices benchmarking
- historical performance
- judgment

Standards can and should be changed and updated over time to reflect improved performance, better work design, introduction of modern equipment, different management information needs, and changing requirements and priorities.

Establishing Standards

5.2.4 There are two areas in the performance measurement framework which form the basis for establishing standards against which performance can be measured:

- the first is related to the assigned Level One Manager Expectations. The standards are used to determine the level of effort that is required to meet the Expectations and also assist in judging the effectiveness of the output towards attaining the Key Result
- the second is related to setting the detailed standards for the output levels of effort developed by the Level One Manager. These are the "plan" standards against which actual performance can be measured

The measurement of the Expectations will be conducted by DFPPC on behalf of the DM/CDS. The Level One Managers are responsible for developing their own system of measurement along the lines of the department's performance measurement framework.

Defence Missions - Assessments of Strategic Level of Performance

5.2.5 The overall assessment of Departmental wide performance is dependent upon the information garnered from the Level One Managers. Based upon the fulfillment of the Expectations by the manager, a subjective assessment will be made as to the degree of success attaining the Key Results and Objectives, and thus the Defence Mission.

Level One Managers are to document in their Business Plans whether or not their assigned Expectations can be achieved. Standards for the Level One outputs achieving the Expectations are to be established by the Level One Manager.

Objectives - Measures

5.2.6 The measures for the Expectations (excluding those associated with Departmental Administration and Support to Government) are:

- **Capability** - the ability to deal with the risks identified in scenarios or the risks associated with actual operations. Includes the availability of personnel and materiel as well as a quantitative and qualitative assessment
- **Readiness** - the resources required and the time to activate the desired capability - the level of preparedness to respond
- **Sustainability** - the duration of effort and the ability to maintain the desired level of capability taking into account anticipated rates of consumption and attrition in the theatre of operations
- **Deployability** - the expected areas of operations and the ability to move the required capability to the designated theatre of operations (time, strategic movement and logistics considerations) and the impact of local conditions on the capability

The measures for the Expectations associated with Departmental Administration and Support to Government are:

- type and quantity
- cost

In addition to the above measures, Level One Managers are free to develop whatever supplemental measures they deem appropriate and necessary to assess the performance of their own organization.

Outputs

5.2.7 Outputs can be considered the "how" (e.g. operational forces and activities) by which Level One Managers satisfy objectives to the degree required by the Key Result and assigned Expectations. Outputs may contribute indirectly to an Objective, that is an Output produced by one Level One Manager may be consumed by another in achieving its assigned Expectations. There should be a demonstrable link (determined through operations, exercises, wargaming, operational analysis, judgment, etc.) between a level of effort expended in outputs and the extent to which assigned Expectations are achieved. Level One Managers are accountable to the CDS/DM for the management of their Outputs.

The aim is to maximize outcomes by establishing an appropriate distribution of effort amongst outputs (most effective and efficient use of resources). Outputs are categorized as:

- Operational Forces
- Departmental Administration
- Support to Government

Operational Forces

5.2.8 Operational Forces. Activities and outputs that are either directly involved in military operations or are part of a contingent capability to conduct military operations. Operational forces consist of forces (regular, reserve and mobilization), materiel and tactical/theatre service support, Command and Control, and training.

Departmental Administration

5.2.9 Departmental Administration. Activities and outputs related to corporate administration services (overhead).

Support to Government

5.2.10 Support to Government. Activities and outputs related to: the provision of advice and information to government, Parliament, other departments and Canadians; contributions to the joint development and implementation of government-wide initiatives; and compliance with government legislation, policies, programs and management practices. It includes activities to ensure that the Department of National Defence and the Canadian Forces fulfil their roles as national institutions.

Output Sub-categories

5.2.11 Each of the output categories can be sub-divided into the following components:

- Personnel - includes personnel related O&M items, pay and allowances, personnel development, personnel management, personnel services and health services
- Equipment - activities and outputs related to equipment acquisition, holdings, maintenance (includes repair and overhaul) and disposal
- Training - includes collective and mission specific training and individual training
- Service Support - activities, infrastructure, materiel and personnel (including maintenance, supplies, facilities, strategic movement and casualty replacement) used to manage and control the support of operational forces and departmental functions
- Command and Control - activities, infrastructure, information systems, materiel and personnel to: direct, coordinate and control both contingent and employed forces, and departmental functions; and provide and respond to strategic and operational guidance (doctrine and direction) and policy (includes intelligence, operational concept, doctrine, procedures, plans and command/control arrangement or systems)

Measures and Indicators - Operational Forces

5.2.12 The indicators for the associated measures for Operational Forces are as follows:

Capability

- the quantity of operational forces (personnel, materiel, operational support)
- the quality (warfighting ability) of the forces
- the quantity and quality of operational forces that are to be maintained over the reporting period

Readiness

- the establishment and training state of operational forces
- the materiel state of operational forces
- the response time

Sustainability

- the number of days of operations at the expected operational tempo including the condition and suitability of the training facilities

Deployability

- the geographic areas and conditions in which operational forces can be employed
- the requirements for strategic movement (force size)
- the availability of strategic movement (how and response time)

Measures and Indicators - Departmental Administration and Support to Government

5.1.13 The measures for Departmental Administration and Support to Government are:

- Type and quantity
- Cost

The indicators for the type and quantity measure are as follows:

- type and quantity of outputs by category as stated in BPs and Service Level Agreements (SLAs) requirements
- percentage of type and quantity standards met
- **reach**(service provider, service recipient, stakeholders, government, departmental, public, associations, allies, etc.) as stated in BPs and SLA requirements (see definition of **reach** in the Glossary)
- percentage of reach standards met

Standards

5.2.14 The Level One Manager is required to:

- create the best balance (quantity and quality) of activities and outputs (level of effort) within the output categories to meet the aggregate Objectives and Key Result through Expectations
- establish standards against which to measure the efficiency of their organization□s performance

Managers will therefore establish the resources to be assigned and priority required for activities and outputs to create this "level of effort".

(Note: the strategy of multi-purpose combat capable forces allows forces to be tasked across multiple Objectives. However, it is unrealistic to expect all Objectives to be accomplished concurrently. Prioritization will be required when emergent operations are undertaken, with relatively less important activities being held in abeyance.)

It must be emphasized that it is the responsibility of Level One Managers to establish the "standards" (quantity and quality) for their own activities, supporting activities (through SLAs) and outputs. These standards are to be summarized in the Level One Business Plan.

Demonstrating Outputs Achieve Expectations

5.2.15 Level One Managers are to evaluate the adequacy of their outputs and activities in meeting their assigned Expectations. Examples of these "evaluations" include routine or emergent operations. and exercises which are designed to test contingent ability. Therefore, operational Level One organizations are to indicate the planned level of evaluation effort in their Business Plans. The indicators for these evaluations are:

- the quantity and nature of planned routine operations
- the quantity and nature of planned exercises

Business Plans and Service Level Agreements

5.2.16 Business Plans and Service Level Agreements (BP/SLA) are an important means for the Department to coordinate its efforts and to meet its Expectations. Therefore, two measures have been introduced to help gauge the success in meeting these Expectations. These measures are accomplishment of the BP/SLA and the cost of the BP/SLA:

- the indicator for accomplishment is the percentage of the BP/SLA achieved
- the indicator for cost is the actual cost of the BP/SLA versus the planned cost expressed as a percentage

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Chapter 5, Part 3 - Operational Readiness and Effectiveness System

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ORES

5.3.1 Operational Readiness and Effectiveness System (ORES) is a computer-based reporting system that allows Commanders and Group Principals to make regular non-intrusive reports on their preparedness to conduct military and support operations.

ORES Process

5.3.2 ORES, in monitoring the CF ability to accomplish objectives, has the following features:

- ORES is a chain of command reporting system. Reports are prepared by the organization responsible for the execution of the objective. These reports are then forwarded to the VCDS who reports the Readiness, Capability, Sustainability and Deployability of organizations to the CDS and other OPIs
- production of reports that summarize:

- capabilities within organizations to accomplish their objectives
- ability of other organizations external to the reporting organizations to provide support for the execution of the objectives

The process begins with the promulgation of the DPG. This will result in the negotiation and approval of the business plans between the DM/CDS and Level One Managers. These business plans will contain funding and activity levels for the upcoming fiscal year plus a general outline of activities for the following four years. Organizations, in turn, comply with the direction to meet their Readiness, Capability, Sustainability and Deployability levels, and report their shortfalls through ORES. Reported capability gaps are validated by remedial action comments from NDHQ agencies, and are incorporated into the ORES database. ORES provides a formal avenue for the organizations to report their ability to meet the DPG and business plan commitments to the CDS.

Types of Reports

5.3.3 Using ORES, Commanders and Group Principals submit monthly reports to VCDS/DGSP/DFPPC8.

There are two types of reports:

- Baseline Report: A Baseline Report is necessary whenever the DPG promulgates new or redefined objectives or some other major change occurs, and will be submitted when requested by the VCDS to establish an ORES baseline on the assigned objectives. The Baseline Report is intended to provide a complete picture of the organization's Readiness, Capability, Sustainability and Deployability for each reportable objective. An organization narrative assessment, mission narrative assessment, output narrative assessment, output category colour charts and applicable deficiencies will be submitted through the deficiency report.

- Update Report: When a change in an organization's ability to accomplish an objective occurs, either a degradation or improvement, an amendment to the Baseline Report shall be sent as an Update Report by message, memo or by electronic means. A significant change should be submitted when it occurs. Routine changes are to be submitted at the end of the month (by the third working day of the following month).

ORES Status

5.3.4 ORES is in the final stages of development and will become operational on 1 April, 1999. For the initial period of 1999/2000, ORES will submit reports on the three operational organizations only (CMS, CLS and CAS), and will report only on Operational Forces Output. Commencing 2000/01, the remaining outputs will be incorporated into the system.

Link to the PRAS

5.3.5 ORES is directly linked to the PRAS. It is specific to military preparedness and supports the PRAS performance measurement framework.

Link to the DPR

5.3.6 ORES supports the annual submission of Level One performance reports and the evaluations reported through ORES will be reflected in the Departmental Performance Report (DPR) as appropriate (see Block 5.4.3).

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Chapter 5, Part 4 - Reporting Requirements

Departmental Requirement

5.4.1 There is a Departmental requirement for strategic comparisons of performance to be made:

- to determine where strategic attention and resources are most needed
- to be able to implement best practices (including benchmarking) across the Department as part of continuous improvement

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Level One Performance Reports

5.4.2 To meet the internal performance reporting requirements, Level One Managers are to provide Level One performance reports no later than 30 June to Director General Strategic Planning. The report is to be constructed in accordance with the outline in the table below as well as any further amplifying instruction from DGSP.

Section	Description
Section I - Overview	Overview by the Level One Manager - a summary of the performance achievements and the context underlying their achievement.
Section II - Level One Manager Performance	Comparison of achievements against objectives provided in DPG, Level One Business Plans and Service Level Agreements. This comparison is also to list deficiencies or shortcomings.
Section III - Resource Usage	Resource usage against DPG, Level One Business Plans and Service Level Agreements.
Section IV - Proposed Adjustments	Proposed adjustments to accountabilities, resourcing, activity or standards resulting from the measurement of results.
Appendixes	Amplifying information from previous sections.

Departmental Performance Report

5.4.3 The Department is also required to report performance to Parliament through its Departmental Performance Report (DPR). The DPR is tabled in Parliament annually in October. DGSP is responsible for the coordination and production of the DPR.

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Chapter 6 - The Capital Program

Overview **6.0.1** As previously discussed, the DSP is the sum of all departmentally approved activities and projects expressed in resource terms. A major component of the DSP is the Capital Program which is dedicated to the long-term sustainment of defence capabilities. Due to its importance within the DSP, particular attention must be brought to bear on the management issues and the decision-making process applicable to the Capital Program.

The Capital Program is subject to the same fundamental management principles of planning, organizing, implementing, controlling and reporting.

However, the actual process is not linear but rather congruent. At any one time, individual projects are in different phases of the process and are dealing with different parts of the Capital Program. The key is to be cognizant of which part of the Program an issue relates to and whether a program issue deals with management of the **approved** program or whether it is an issue which proposes a change to the **approved** program (by adding or deleting **approved** projects or activities).

The vehicle by which the capital program is expressed and through which individual project approvals will routinely be sought is the Long Term Capital Plan (LTCP) as a concurrent document submitted with the Departmental Business Plan. Provisions have been made to consider projects outside of this vehicle (referred to as "out of cycle") and these are discussed in Chapter 7.

Components of the Capital Program **6.0.2** There are four basic components to the Capital Program. They are:

- Capital Equipment is the largest component of the Capital Program and covers all equipment, material and/or service projects valued at more than $3M.
- Capital Construction covers all projects addressing new construction, capital leases and recapitalization of existing assets.
- Miscellaneous Requirements covers all equipment, material and/or services projects valued at no more than $3M.
- Other Capital covers all other projects and activities using capital funding in support of specific DND agencies, the corporate investment funds and the special capital reserves.

In This Chapter

6.0.3 This chapter describes the various components of the Capital Program from a program management perspective as well as the importance of the Long Term Capital Plan. Specific capital project issues, which may affect program management, are discussed further in chapter 7.

The chapter is broken down into the following parts:

Part	Title	Page
1	Capital Equiptment	6-3
2	Capital Construction	6-8
3	Miscellaneous Requirements	6-13
4	Other Capital	6-15
5	Level One Capital Plan(L1CP)	6-16
6	Long Term Capital Plan(LTCP)	6-18

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Chapter 6, Part 1 - Capital Equiptment

Overview

6.1.1 The Capital Equipment component of the DSP aggregates all projects valued over $3M that are created for the acquisition of new equipment / systems (assets), for the life extension (beyond one year) of existing assets and for the enhancement of capabilities of existing assets.

Source of funding

6.1.2 Capital equipment projects are funded from a Corporate account entrusted to ADM(Mat) as the Departmental custodian. The account is notionally divided into two categories:

- Strategic Capital
- Non-Strategic Capital

This division recognizes the need for central planning and control of high cost, high risk, mission essential projects while providing Level One Managers with the ability to plan and control lower cost/lower risk projects in accordance with program priorities established in their respective Business Plans.

Strategic Capital

6.1.3 Strategic Capital is the aggregate of all capital equipment projects having individual values of $100M or more, or which have been specifically designated strategic by Program Management Board as a result of significant risk or importance.

The responsibility for planning, scheduling and approving strategic capital projects rests with Program Management Board.

Corporate and individual project oversight is retained by the Program Management Board and is executed primarily through project Senior Review Boards (see Chapter 9, Part 6).

Non-strategic Capital

6.1.4 Non-Strategic Capital is the aggregate of all capital equipment projects having an individual value greater than $3M and less than $100M or which have been specifically designated non-strategic by Program Management Board as a result of low risk or importance.

The responsibility for planning, scheduling and approving non-strategic projects rests with the sponsoring Level One Manager subject to the projects being included within an approved Departmental Long Term Capital Plan. Non-strategic projects not included within an approved Departmental Long Term Capital Plan must be submitted to PMB for consideration prior to the Level One Manager approval.

Individual project oversight is vested with the sponsoring Level One Manager. Corporate oversight is vested in project Senior Review Boards.

Capital Equipment Program Planning

6.1.5 The DPG provides resource levels for the prosecution of the strategic capital equipment program and the apportioned resource levels for each Level One Manager responsible for the prosecution of non-strategic capital equipment projects. The identification, planning and execution of projects created to redress DND/CF capability deficiencies must be done in accordance with the defence missions/objectives and priorities established by the DM/CDS in the DPG.

While a new project/activity is normally only introduced in year five of the DPG, phasing of previous DPG directions may occasionally need to be adjusted to accommodate slippage, amended priority and cash management needs.

Capital Equipment Program Organizing

6.1.6 The Capital Equipment Program process focuses on transitioning projects to the implementation phase. Program organization includes but is not necessarily limited to developing a schedule, sequence and accountability for the appropriate components of the program; developing the appropriate documents to solicit approvals and expenditure authorities: and negotiating supporting agreements from departmental or alternate service providers and other government departments. The result of this organizing effort is the Long Term Capital Plan.

Capital Equipment Program Implementation

6.1.7 Individual projects enter implementation when departmental approvalis received from the MND or Treasury Board in accordance with the conditions set out in Project Approval Summary Table located at page 23 of Chapter 7.

Implementation includes the activities of project management, engineering, test & evaluation, initial training, logistics development, procurement & financial management and finally hand-over to the operational authority.

Implementation Responsibilities

6.1.8 Responsibility for implementation of capital equipment projects rests with ADM(Mat) as the primary service provider. In the case of information management / information technology projects, DND CIO may be responsible for implementation activities with the exception of procurement & financial management which will remain an ADM(Mat) responsibility.

Note that DND CIO remains the Departmental authority with respect to the development and enforcement of information management / information technology policies and guidelines in accordance with those established by the Government.

Capital Equipment Program Controlling

6.1.9 The function of controlling is shared with respect to the Capital Equipment Program. The project sponsors are in essence "guardians of the requirement" and in doing so monitor the implementation activities ensuring that the deliverables are in accordance with the Statement of Requirements. As implementor of the project, ADM (Mat) is responsible for the project procurement/delivery schedule, cash management and reporting responsibilities for the strategic and non-strategic programs.

Cash Management

6.1.10 6.1.10 Cash management relates to "real" dollars (i.e. dollars attached to an expenditure authority) as opposed to "planning" dollars. Accordingly it incorporates all those activities required to achieve a zero variance at fiscal year-end. To manage properly, accommodation must be made for delays and natural slippage in the delivery of approved projects. Consequently, the cash management strategy used for the corporate capital equipment account relies on a level of overprogramming, so that enough project activities are available for execution should slippage occur.

Overprogram

6.1.11 Overprogram is a strategic level program management issue. It is the level of planning dollars above the identified available funding for the corporate capital equipment account. The overprogram level is established by ADM (Mat) and endorsed by PMB. It is applied at the corporate level only.

Capital Corporate Account

6.1.12 While funding for non-strategic projects has been "apportioned" and authority for the *planning* of such projects granted to the individual Level One Manager, ADM (Mat) remains accountable for the management of the corporate account. Therefore, when a project goes from *planning* to having received departmental approval the approved funds become the responsibility of ADM (Mat) to manage.

Cash Management of Non-strategic Projects

6.1.13 ADM(Mat) manages these approved funds within the larger Capital Equipment Program along the following lines:

- Once a non-strategic project has received departmental approval, the funds for the project have effectively been "committed". That is to say, that the cash line as documented in the Synopsis Sheet is no longer available to the Level One Manager for the planning of future projects
- While actual expenditures may not occur in the same fiscal year as was planned in the Synopsis Sheet, ADM(Mat) will "cash manage" any variances within the larger capital equipment account
- ADM(Mat) assures Level One Managers that funds will be available within the capital equipment account to deliver their approved projects should slippage occur
- upon project completion and close-out, any residual project funding shall revert to the sponsoring Level One Manager's non-strategic account in accordance with a timeline agreed to by both ADM(Mat) and the sponsoring Level One Manager

- should a project forecast exceed the approved project funding, additional funding must be provided by the sponsoring Level One Manager once a revised departmental approval has been requested and received from either the MND or TB as appropriate

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Management of Contingency Funds

6.1.14 All capital projects include a provision for contingency. Projects have access to funding up to the approved expenditure ceiling. Rather than holding contingency in "reserve", such funding is managed as a potential liability against the corporate capital equipment account and only provided when approved by the project SRB. Contingency is discussed further in Chapter 9 (Page 9-15).

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Chapter 6, Part 2 - Capital Construction

Construction Program Components

6.2.1 The Capital Construction program includes projects which fall under one of the following three categories:

New Construction:

- all new construction, including CISOE, of buildings or facilities in support of new tasks or missions

Recapitalization:

- Recapitalization Construction to replace existing infrastructure to meet current codes and standards
- Recapitalization Betterment to increase output or service capacity e.g. replacement of waterlines with larger pipe sizes; projects which extend life, or useful life, more than one year

Capital Lease:

- a capital lease occurs when substantially all of the benefits and risks incident to ownership of the asset are transferred from the lessor to the Government. More specifically, a capital lease occurs when at the inception of the lease, any of the following conditions are present:

    1. there is reasonable assurance that the Government will obtain ownership of the leased asset by the end of the lease term. For example, the lease includes terms allowing ownership to pass, or provides for a bargain purchase option
    2. the lease term is of such duration that the government will receive substantially all of the economic benefits expected to be derived from the use of the leased asset over its life span
    3. the lessor is assured of recovering their investment in the leased asset, and of earning a return on the investment

Funding Source

6.2.2 The above three categories are further subdivided according to the funding source for the projects. These are:

Level One Management funded projects:

- this includes new construction of buildings or facilities in support of new or existing tasks and missions
- recapitalization projects to existing realty assets for which the funds come from the Level One Manager's Operating Budget

Centrally funded projects:

- mandated programs, such as:
    - Legacy Construction (any project contained in CPSC 94)
    - The IRP 94 and 95 programs (Infrastructure Reduction)
- Other programs for which the source of funding is separately identified, such as:
    - Foreign Military Training (FMT)
    - the non-public portion of Personnel Support Program (PSP) projects
    - Construction in Support of Equipment (CISOE) projects, the construction component of certain capital equipment projects.

Responsibilities for Capital Construction

6.2.3 ADM(IE) reviews the overall construction program proposed by Level One Managers from a corporate strategic perspective and prepares a consolidated construction program for reporting purposes.

ADM(IE) is responsible for direct management of the centrally funded projects whereas Level One Managers are responsible for the management of all other construction projects.

ADM(IE) is responsible for the coordination of communications strategies dealing with sensitive construction projects / activities where there would be significant public interest.

State of the Realty Assets (SORA)

6.2.4 The capital construction program is generated from the bottom up, i.e. the need for new realty assets or recapitalization of existing assets to support operational and support activities is identified, through the chain of command, by the bases and wings. Level One Managers will plan their capital construction requirements over the long term based on adequate information on the state and best use of their realty asset inventory. Some of this information is found in the annual State of the Realty Assets (SORA) report that is consolidated by ADM(IE) and presented to PMB. Another source of information is the Master Realty Asset Development Plan.

Determination of the Construction Funding Level

6.2.5 Baseline funding for the capital construction program is established by PMB and reflected in the Defence Planning Guide (DPG). The capital construction allocation is currently devolved to the operating budget of those Level One Managers responsible for realty assets on the basis on their percentage of the total DND Plant Replacement Value. A new strategic funding model shall be elaborated in the future to reflect the requirements highlighted in the SORA. Level One Managers assign portions of their operating budget to new construction or recapitalization, and ensure the availability of funds for the duration of the projects.

Level One Business Plan

6.2.6 Level One Managers will include in their Business Plan an affordable five year capital construction program. This construction program should clearly reflect the total value of their proposed plan and in particular list all projects over $1 M which may expend funds in the next five years. It will further identify those projects seeking Preliminary Project Approval (PPA) or Effective Project Approval (EPA).

LTCP(C)

6.2.7 6.2.4 Level One Manager's submissions and the inclusion of centrally funded projects will be consolidated by ADM(IE) in the Long Term Capital Plan (Construction) (LTCP(C)). As well, Construction in Support of Equipment (CISOE) projects will be listed in the five year program even though approval for these projects is obtained via the LTCP(E) and cash management is executed by ADM(Mat).

The LTCP(C) is organized in two parts. Part I outlines the specific proposals and in general terms ties them to the missions/roles of the Department. Part II contains the project details and the associated funding levels that have been developed to implement the priorities outlined in Part I. A project synopsis is required for every project for which expenditure authority is being requested.

LTCP(C) Annexes

6.2.8 The standard annexes that appear in Part II of LTCP(C) are:

- Five Year Program Forecast Expenditures
- Five Year Cash Flow for all affordable projects
- Performance Measurement
- Projects requiring additional approvals prior to the next LTCP(C)
- Projects seeking PPA and EPA from TB
- Projects seeking PPA and EPA from the Minister
- Cost Summary of all approvals requested in the LTCP(C)

Additional annexes are added to the LTCP(C) when new initiatives are being undertaken (i.e. new definitions).

LTCP(C) Approval

6.2.9 Once the LTCP(C) is approved by PMB, the LTCP(C) is forwarded to the Minister through the appropriate channels. Upon concurrence with the plan, the Minister shall approve those projects within the $60M threshold and subsequently forward the LTCP(C) under his signature to Treasury Board for consideration/approval of those projects over $60M.

Implementation

6.2.10 Individual projects enter the implementation phase when expenditure authority is received from the Minister or TB as applicable. The program implementation includes the identification and approval of requirements, the allocation of funds, projects delivery and cash management activities.

Construction/recapitalization projects may be managed at any level of the Chain of Command or by ADM (IE), if so requested, at the discretion of the ECS/Group Principals. Requests for ADM (IE) to manage a capital construction project will be stated in the project Synopsis Sheet. The organization identified to do the project management is responsible to plan, organize, and control the allocated resources to accomplish the project's cost, time and performance objectives.

Optionality

6.2.11 The increased flexibility and the wide range of project delivery implementation methods by which a project may be delivered have been termed "Optionality". This provides improved project delivery effectiveness and efficiency. The Optionality framework is provided in the draft DAOD 4001-7 *Procedures for Project Delivery*. Project implementation is further discussed at Chapter 7.

Controlling

6.2.12 The project sponsors are in essence guardians of the requirement and in doing so monitor the implementation activity. The responsibility for cash management rests with the Level One Manager for those projects for which the funds have been allocated to their Funds Centre. Level One Managers must also monitor and control the implementation of construction projects for which the funds have been allocated to their Funds Centres to ensure they are delivered on time and on budget. The Department is committed to develop a program that is affordable and achievable. To optimize the funds available and account for project slippage, it is the norm at the corporate level to overprogram in each fiscal year.

Adjustment may be required through the year due to changing priorities for funding or slippage in some projects. Adjustments required to the program to meet budgets and set new milestones will be reflected in the following year LTCP(C). Projects, which have a change in the scope of work or requiring an increase in the expenditure authority because of anticipated cost overrun, must be resubmitted in the LTCP as a revision. In rare circumstances such as "program changes" an out-of cycle submission may be staffed.

Risk Management

6.2.13 Risk management is a process whereby potential threats to an organization, its staff, or its materiel are examined and mininized in a rational and clearly documented fashion. The analysis used in risk management convert possible events (what if scenarios) and their outcomes into dollars. This creates a common standard that allows comparison between options, and therefore a rational selection process. The process allows managers to assess and compare the potential costs and benefits of various options and to select the best choice. Alternatively, it costs out the consequences of a determined course of action. Further, as the process is clearly documented, it reduces the time required by those reviewing a decision to understand influencing factors.

Risk analysis is not a hard science, but rather involves, by definition, a number of assumptions and rests on the experience and expertise of the person(s) conducting the analysis. Therefore, different practitioners are likely to arrive at similar rather that identical conclusions. However, the key consideration is that a proactive approach is taken towards managing risks, thereby reducing government's unnecessary exposure to potential losses.

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Chapter 6, Part 3 - Miscellaneous Requirements

Miscellaneous Requirements

6.3.1 A Miscellaneous Requirement (MR) is defined as a project for the one-time acquisition of new equipment, materiel and/or services where the total project value does not exceed $3M or for the recurring acquisition of replacement equipment and materiel where the individual item value does not exceed $1M.

Further conditions applicable to MR projects are:

- They do not significantly increase demand on Personnel or O&M
- They have no associated project management costs
- They have no associated project definition/development costs

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Funding Source -- MR Project

6.3.2 Miscellaneous Requirements are to be funded by the sponsoring Level One Manager in accordance with the resources levels identified in the DPG. Level One Managers do have the flexibility to vary their MR account funding by transferring funds from other sources in accordance with accepted guidelines as issued by ADM(Fin CS).

Funding Source -- Incremental P, O&M Costs

6.3.3 Any increase to the demand for Personnel or O&M resources as a result of the implementation of a MR project must be funded from the sponsoring Level One Manager's operating budget.

MR Capital Planning

6.3.4 The responsibility for identifying, scheduling and approving MR projects is vested with each Level One Manager in regards to their respective projects, with expenditure authority in accordance with the Project Approval Summary Table on page 7-23.

Notwithstanding these responsibilities, the Treasury Board requires that the Department identify the total value of planned MR activities as well as specifically list all MR projects with a value of $1M or greater within its Departmental Long Term Capital Plan. Level One Managers must therefore identify this information in their Level One Business Plans and Level One Capital Plans in order to permit DGSP/DFPPC to consolidate this information in the Departmental LTCP.

Implementing MR Projects

6.3.5 Upon receipt of expenditure authority, Level One Managers may implement their MR projects on their own in accordance with the following financial authority and in accordance with Government of Canada/PWGSC contracting regulations:

- DAOD 1004-1: Delegation of Authorities for Financial Administration
- PWGSC Contracting Regulations

Note: It is recommended that Level One organizations consult with appropriate ADM(Mat) Divisions in order to determine circumstances leading to effective and efficient use of their budget as the result of contracting efficiencies from economies of scale, combined procurement processes, standing offers, etc.

Controlling Constraints

6.3.6 Level One Managers monitor and control the execution of their own MR Plan. All planning, definition, acquisition, operations and maintenance, and personnel costs associated with a MR program are to be funded from Level One allocated resources or otherwise arranged through Service Level Agreements.

Level One Managers must ensure the contracts and procurement activity taken on their behalf is done so only upon appropriate consultation with the procurement agent and that procurement commitment against their operating account is only made within their spending authority under Section 32 of the FAA.

Level One Managers must also ensure their MR program is scheduled in such a manner as to avoid unreasonable concentration of activity toward the end of the fiscal year.

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Chapter 6, Part 4 - Other Capital

Other Capital

6.4.1 Other Capital includes capital funding for agencies supported by DND, investment funds and the capital funding reserves.

DND Supported Agencies

6.4.2 The agencies supported by DND include:

- National Search and Rescue Secretariat
- Office of Critical Infrastructure Protection and Emergency Preparedness Canada
- Communications Security Establishment

Capital Reserves

6.4.3 The capital reserves include:

- DCDS Unforecast Operations Requirement (UOR) Reserve
- Operations Reserve

These funds provide for unforecast demands from existing operations and for new operations. While these reserves are controlled by PMB, funding is normally approved by the VCDS or as delegated by him.

R&D and Ammunition Program

6.4.4 While Research and Development (R&D) and the Ammunition projects are primarily funded from Corporate Vote 1 accounts, small annual budget accounts have been established to allow for the procurement of support equipment such as special test and calibration tools.

These accounts are managed by ADM(S&T) and ADM(Mat) and authority for approving projects and activities within these accounts has been delegated to these Level One Advisors.

Strategic Change Investment Fund

6.4.5 The Strategic Change Investment Fund provides interest free loans to Level One Advisors to support achievement of the DND/CF Change Objectives, encourage continuous improvement initiatives, foster innovative approaches and good management practices and promote knowledge transfer through lessons learned. It will have $10M ($5M – Vote 1 and $5M – Vote 5) allocated at the beginning of each fiscal year.

Director General Strategic Change (DGSC) has delegated authority for approving loans of up to $3M. Requests over $3M will be referred to PMB by the appropriate Group Sponsor for decision. VCDS Instruction 01/00 provides guidance and direction on the use and management of the fund. All loans are to be repaid within five years of being awarded.

For further information refer to VCDS/DGSP/DSC intranet site:
http://vcds.mil.ca/dgsc/ipe/tem1_e.asp?sec=3

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Chapter 6, Part 5 - Level One Capital Plan(L1CP)

Introduction

6.5.1 The mechanism through which Level One Managers identify requirements and have them entered into the Capital Program is their Level One Business Plan. Chapter 4 describes the business planning process.

Level One Capital Plan (L1CP)

6.5.2 The information requirements for the composition of the Department's LTCPs are derived from the Level One Capital Plans submitted with the Level One Business Plans. The L1CP articulates the strategy the Level One Managers will use to execute their capital plan, and focuses on the next five years. The L1CP outlines:

- the scheduled expenditures for strategic projects in accordance with direction provided in the DPG
- the prioritization, schedule, funding source and capability being addressed for non-strategic capital projects
- how the Level One Manager will accommodate adjustments to the Personnel and National Procurement (NP) apportioned accounts and the operating account arising from the introduction of the new equipment
- the anticipated source and use of MR funds. Projects with a total value of $1M or more must be listed and the total proposed Vote 5 funds within the Level One Manager's expenditure authority must be indicated. Associated adjustments to the operating account, both to accommodate the life cycle costs of supporting the new equipment and to fund the total capital proposal, must also be indicated

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L1CP Outline

6.5.3 L1CPs will be submitted with the Level One Business Plans, in accordance with the business plan template. The L1CP is to be presented in six parts:

- Part One -- General Overview
- Part Two -- Resources
- Part Three -- Strategic Capital (Equipment)
- Part Four -- Non-strategic Capital (Equipment)
- Part Five -- Construction
- Part Six -- Miscellaneous Requirements

Parts One/Two: General Overview/ Resources

6.5.4 Part One describes the Level One Manager's vision for stewardship of the capital base and provides a general overview of the plan.

Part Two identifies the resources required to deliver the plan. It includes funding sources, project management overhead, adjustments to DPG resource levels and interdependencies.

Part Three: Strategic Capital

6.5.5 Part Three covers strategic capital projects that plan to expend funds within the five year planning period. Level One Managers may also identify longer term strategic projects for which near-term projects will provide capability to be used later. These longer term strategic projects will normally be in narrative form, noting program linkage and project milestones that will require senior management consideration at PMB or higher. Project detail will increase as departmental decision points become known.

Part Four: Non-strategic Capital

6.5.6 Part Four covers non-strategic capital and it details the projects to be brought forward in the planning period. It includes a narrative description of the capability being acquired, linkage to Departmental policies/objectives, PPA/EPA milestones, cash flow projections for the project and associated Personnel, O&M adjustment implications. It will list those projects for which a synopsis sheet seeking either PPA or EPA will be completed for inclusion in the Departmental LTCP.

Part Five: Construction

6.5.7 Part Five covers construction (infrastructure) projects. This part must highlight the scope of the Level One infrastructure plan, its affordability and achievability. All construction projects anticipating MND or TB expenditure authority within year one and two of the plan must be described.

Part Six: Miscellaneous Requirements

6.5.8 Part Six outlines the Level One MR plan. The MR plan shall detail the total value of the proposed plan and will list the specific projects over $1M which seek MND expenditure authority within year one of the plan. Where additional funding is being provided to augment the MR funds as described in the DPG, the source and authority to transfer such funds shall be identified.

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Chapter 6, Part 6 - Long Term Capital Plan(LTCP)

Introduction

6.6.1 The Departmental Long Term Capital Plan (LTCP) describes the content of the Capital Program in accordance with the resources identified in DPG and links it to the achievement of desired defence outcomes and policy.

Ideally, only one Departmental LTCP would be submitted to Treasury Board. However, to accommodate time constraints and to acquiesce to the request of central Government agencies for a "grouping" of similar type projects, the Departmental LTCP has been designed in three separate parts:

- LTCP (E) which aggregates all equipment capital projects
- LTCP(IM) which aggregates all information management capital projects
- LTCP(C) which aggregates all construction (infrastructure) capital projects

Since construction projects have a seasonally sensitive schedule, which must be respected, this group of projects will normally be sent to Government in a stand-alone Long Term Capital Plan (Construction) submission. The LTCP(E) and LTCP(IM) are submitted under the same cover to the Government in the June timeframe, concurrent with the Departmental Business Plan.

Part I LTCP

6.6.2 An LTCP is submitted in two parts with Part I providing the strategic context, policy linkage and resource derivation for the five year planning period. Part I must be submitted once every five years and more often as required to accommodate change. To facilitate the analysis, presentation or approval of the plan, it may be segmented into separate submissions and/or aggregated into separate sections as noted in the introduction, above. These sections may be submitted at different times. Expenditure authority for specific projects is sought under the cover of the LTCP, but the LTCP itself is otherwise only noted by TB.

Part II LTCP

6.6.3 Part II of the LTCP is submitted annually. It contains a report on the achievement of the approved program, identifies specific projects that seek expenditure authority for the upcoming fiscal year and identifies those that will be actively developed during the subsequent four years of the plan.

LTCP Responsibilities

6.6.4 The Departmental LTCP, currently identified as LTCP (E), is produced by DGSP by consolidating information from Level One Managers' L1CPs as well as information obtained from specific Corporate Account custodians (for example, ADM(Mat), ADM(IE) or DND CIO). Key responsibilities in the production of the LTCP (E) are identified in the tables at the end of this Part. DGSP will also submit the LTCP(E) to PMB for approval and onward transmittal to the TB.

Authority for the development and submission of the LTCP (C) has been assigned to ADM (IE).

DND CIO has been assigned responsibility for developing and submitting the LTCP (IM) document, but only concurrent with or after the LTCP master document has been tabled at PMB.

LTCP Approval

6.6.5 Although individual projects within the LTCP may be seeking expenditure authorities, the LTCP itself is not approved by Treasury Board but only noted. The LTCP is approved, in effect, by PMB and further endorsed by MND. Since the LTCP functions as a Treasury Board Submission, the LTCP must receive a 'financial' sign-off by ADM (Fin CS) on its way to the MND. For an explanation of 'project' approvals see Chapter 7, Part 3.

LTCP Staffing

6.6.6 Once the LTCP is approved by PMB, DGSP composes a covering letter for the signature of the CDS/DM to transmit the document to the MND. The MND considers the projects within his expenditure authority and signs the plan for onward transmission to Treasury Board.

LTCP Schedule

6.6.7 It is intended that the master LTCP will be submitted to the TB under the same TB Submission as the Departmental Business Plan, in the late Spring of each year. LTCP submissions may proceed to TB independently, as long as linkage and congruency with the Departmental Business Plan is demonstrated.

Project Synopsis Sheets

6.6.8 Projects seeking expenditure authority concurrent with the submission of the LTCP must have a fully completed SS(PPA or EPA) submitted as part of the plan. SS (PPA and EPA) instructions are provided in Chapter 7.

LTCP Sections Part I and Part II

6.6.9 The LTCP is composed in the sections indicated by the OPIs in consultation with the OCIs outlined in the tables below:

Part I - LTCP

Section	Topic	Coordinated by	Main Input
One	Overview	VCDS/DGSP	ADM(Pol)
Two	Capital Program Derivation	VCDS/DGSP	ADM(FinCS)
Three	Strategic Direction	VCDS/DGSP	ADM(Pol)
Four	Construction Component Relationship *Note: This is a summary only. The LTCP(C) would address the construction component in detail.*	VCDS/DGSP	ADM(IE)
Five	Information Management Component Relationship	VCDS/DGSP	DND CIO

Part II – LTCP

Section	Topic	Coordinated by	Main Input
One	Status of Approved Capital Program	ADM(Mat)	VCDS/DGSP
Two	Projects Seeking Expenditure Authority *Note: Construction projects seeking approval will be submitted via the LTCP(C)*	ADM(Mat) for Equipment DND CIO for Info Mgt	VCDS/DGSP
Three	Projects for Future Consideration	VCDS/DGSP	Level One Managers through L1CPs
Annex A	Synopsis Sheets for projects seeking expenditure authority	Level One Managers	

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Chapter 7 - Capital Projects Approvals

Overview

7.0.1 An aim of the Defence Management System is to manage changes to the Defence Services Program. One element that impacts on the DSP is the approval of capital projects.

The purpose of this chapter is to explain the Capital Project approval process and describes how "investment decisions" with respect to capital projects are made.

ADM(Mat), DND CIO and ADM(IE) produce detailed guidance on the management of capital projects. Project management staff should ensure they avail themselves of this information.

In this Chapter

7.0.2 This Chapter is broken down into the following parts:

PART	TITLE	PAGE
1	General Project Management Description	7-2
2	Project Phases and Synopsis Sheets	7-4
3	Project Approvals	7-22
4	Completion of Synopsis Sheets	7-27
5	Description of Departmental Annexes	7-42
6	Miscellaneous Requirements	7-49
7	Major Crown Projects	7-50
8	Construction Projects	7-55
Annexes	Annexes A to H	7A to7H

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Chapter 7, Part 1 - General Project Management Description

Project Management

7.1.1 Project management is undertaken to attain a specific objective within the parameters of scope (including cost), schedule and performance. It employs a structured set of processes, systems and techniques for planning, organization, implementation and control.

Project Management Phases

7.1.2 Effective project management involves identifiable, phased activity. It includes:

problem identification - a fully substantiated description of the requirements to be satisfied and a decision to pursue its resolution

options analysis – examination of a number of options to satisfy the requirement. This examination assesses the rough order of magnitude of costs, benefits, risks and opportunities of all options against the requirements with a view to finding the optimum option to be further defined in detail

definition – activities leading to the creation of a detailed plan, cost and risk estimate for the implementation of the selected option

implementation – activities leading to the acquisition and delivery of equipment, infrastructure and/or services which satisfy the requirement defined during the definition phase. This phase includes the management and monitoring activities needed to ensure that the project delivers the required output within defined time and cost constraints

close out of the project and the composition of the associated reports

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Decision Points

7.1.3 From a program perspective, each phase culminates in a decision being taken by an appropriate level of Senior Management as to whether to proceed to the next phase. The document used within DND/CF to seek these "program decisions" is known as the Synopsis Sheet (SS) which is discussed further in Part 2 of this chapter.

Diagram of Project Management Phases

7.1.4 The key decision points are demonstrated below:

IDENTIFICATION	OPTIONS ANALYSIS	DEFINITION	IMPLEMENTATION
Identify Capability Deficiency	Formulate options Discard invalid options Assess benefits of remaining options Examine risk Decide which option should be pursued Development	Detailed review, risk assessment and costing of selected option. Implementation planning	Implementation Implementation management Implementation monitoring Reports on status of implementation Operational Handover Close out

Decision

SS(ID)

Decision
SS(PPA)

Decision
SS(EPA)

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Chapter 7, Part 2 - Project Phases and Sysnopsis Sheets

Project Management in DND

DND projects evolve through the phases described in Part 1. These phases are used to progress a project towards delivery of equipment, infrastructure and/services which will rectify an identified capability deficiency. As part of the management framework, decisions to proceed further with each subsequent phase of a project are required from Senior Management and/or Government in the form of approvals.

Program Decision Documents

The vehicle for seeking program decisions is the Synopsis Sheet (SS). It provides sufficient information about the project (purpose, relation to DPG guidance, cost, etc.) to enable Senior Managers to decide the merits of pursuing the project further and in gaining Ministerial or Treasury Board expenditure authority.

Iterative Document

The Synopsis Sheet is an iterative document initiated when the problem is identified and developed further at each successive phase as more detailed information becomes available.

In this Part

This part covers the following topics:

Topic	Page
Identification Phase	7-5
Options Analysis Phase	7-7
Definition Phase	7-10
Implementation Phase	7-12
Synopsis Sheet Amendments	7-15
Waiver of Synopsis Sheet (PPA)	7-17
Phased Implementation	7-18
Omnibus Projects	7-20

Identification Phase

Key Activities

7.2.1 Key activities of the project identification phase are:

- production of a formal description of the capability deficiency linked to policy and performance expectations
- identification of potential solutions in broad terms
- preparation of a rough order of magnitude (ROM) cost estimate for planning purposes
- preparation of an initial risk assessment
- initiation of a Statement of Operational Requirement (SOR) (refer to Page 9-36)
- preparation of a Project Charter (refer to Page 9-34)
- entering the project in the LTCP (refer to Chapter 6)
- obtaining sponsoring Level One Management approval

Program Decision Document

7.2.2 The results of the activities in this phase are summarized in the Synopsis Sheet (Identification) or SS(ID). SS(ID)s are required for all Capital projects with the exception of MRs.

Purpose of SS(ID)

7.2.3 The purpose of the SS(ID) is to obtain:

- agreement on the identified capability deficiency
- agreement with the proposed options to be examined
- Vote 1 funding for the options analysis phase
- approval for the planning of the total anticipated capital project cost

Note:

Vote 1 funding is used for the options analysis phase. Given the investigative nature of the activities, the costs are rightly attributed to departmental overhead P, O&M account. Such funds cannot be subsequently re-imbursed out of capital project funds.

Who approves the SS (ID)?

7.2.4 SS(ID)s for capital equipment projects (strategic and non-strategic) and construction projects are approved by the sponsoring Level One Manager. As it is "their" funds they are spending, the requirement for Senior Review Board (SRB) scrutiny prior to approval is at the discretion of the Level One Manager. If it is believed that the project may impact on other Level One organizations (e.g. life saving equipment project which will affect all operational environments) then the Sponsor would likely wish to convene a SRB prior to approving the SS(ID). (The SRB is discussed in Page 9-45).

Any required Vote 1 funds for the options analysis phase of the project are to be provided from the Level One Manager's operating budget.

What happens upon approval?

7.2.5 Upon approval of the SS(ID) by the Level One Manager:

- expenditure authority for Vote 1 options analysis funding is approved
- the project status in the Project System (PS) module of the Financial Managerial Accounting System (FMAS) is amended to "D" status
- the project enters the LTCP process. Note that the project will only be incorporated into the L1CP and LTCP documents once projected capital spending enters the five-year planning window

Note:

Given staffing and funding pressures within the Defence Services Program, significant effort should not normally be expended until a project enters the five-year LTCP planning window

Omnibus and Major Crown Projects

7.2.6 Because of the significance of the resource, risk and/or sensitivity implications of Omnibus and Major Crown Projects (MCP), additional process steps are required. Refer to blocks 7.2.43 through 7.2.50 for Omnibus projects and Part 7 of this chapter for MCPs.

Options Analysis Phase

Key Activities

7.2.7 Key activities in the options analysis phase are:

- approval of the Project Charter (refer to Page 9-34)
- conducting studies which produce:
  - a costed options analysis which examines the Capital requirements and the resulting P, O&M resource impact
  - an **indicative** total cost estimate of the preferred option (refer to Page 9-12)
  - a **substantive** cost estimate of the definition phase or the first phase of a gated project (refer to Page 9-12)
- preparation of a Project Profile and Risk Assessment (PPRA) (refer to Page 9-39) for projects greater than $30M or which are considered to be high risk

- refinement of the Statement of Operational Requirement (SOR) (refer to Page 9-36)
- establishment of the project Senior Review Board (SRB) (refer to Page 9-45) and reviewing of project planning and documentation

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Program Decision Document

7.2.8 The activities of the options analysis phase are summarized in the Synopsis Sheet (Preliminary Project Approval) or SS(PPA).

Purpose of the SS (PPA)

7.2.9 The purpose of the SS(PPA) is to obtain:

- **approval in principle** for the preferred option, the anticipated total project cost estimate and the resulting P, O&M implications of implementing the project
- agreement to proceed to the definition phase
- Vote 5 funding for the definition phase

Who approves the SS (PPA)?

7.2.10 Departmental approval of the SS(PPA) is dependent on the total project cost estimate and approval authority shall be in accordance with the Project Approval Summary Table provided at Block 7.3.1 of this Chapter.

Once approval of the SS(PPA) has been obtained, the project must seek expenditure authority in accordance with the authorities established in the same Project Approval Summary Table.

What happens upon approval?

7.2.11 Upon approval of the SS(PPA) the following occurs:

- the project status for the definition phase of the project is amended to "B" status in the PS module of the FMAS

  Note: *Upon approval of expenditure authority, the project status for the definition phase of the project will be amended to "A" status in the PS module of FMAS*

- the project status for the remainder of the project is amended to "C" status in the PS module of the FMAS
- the definition phase commences

For a discussion of the project status codes refer to Chapter 9, Block 9.1.4.

What are the key activities of this phase?

7.2.12 While not all inclusive, the following activities are normally considered options analysis:

- options analysis/feasibility studies for the purpose of identifying various options of capability levels
- studies and scenario testing for the purpose of refining and quantifying the SOR
- cost estimates of both acquisition and life cycle of various options
- industrial preparedness requirements
- research and development studies
- preliminary environmental assessments/option analysis
- personnel, technology, priorities and their impact on other capabilities
- socio-economic studies and market analyses
- topographic surveys
- pricing and availability studies

Refer to Chapter 9 for a detailed discussion of the activities.

Note:*The resources (dollars and PYs) for conducting these activities are funded from the Level One Manager's operating budget. Since these activities are considered part of Departmental overhead they do not form an integral part of the total project cost for PPA and EPA approval purposes. They should however be noted in the SS(PPA) and (EPA) as associated costs not funded by the project.*

CAUTION!!! Options Analysis vs. Definition Activity

7.2.13 It is acknowledged that while a certain "gray area" exists, the line between what constitutes "legitimate" options analysis activity (funded from Level One Manager's operating funds) and definition activity (funded from the Corporate Vote 5 funds) must not be crossed in an attempt to by-pass the requirement for a SS(PPA).

Definition Phase

Key Activities

7.2.14 Key activities in the definition phase are:

- the conduct of definition studies which produce:
    - a final SOR (refer to Page 9-36)
    - a **substantive** estimate of the total cost of the preferred option based on detailed system and component designs
    - if it is a "gated" project (see Page 7-18), an **indicative** estimate of the total project cost as well as a **substantive** estimate of the cost of the phase of a "gated" project for which expenditure authority is being sought

  - a **substantive** estimate of the transition and recurring P, O&M costs associated with implementation of the project

- preparation of a revised PPRA (refer to Chapter 9)
- the creation of a Project Management Plan
- the convening of the project Senior Review Board (SRB) to review documentation and provide advice, where required
- shifting of Project Leadership from the Sponsoring organization to the Implementing organization in cases of significant definition spending, significant acquisition activity or an interdepartmental Senior Project Advisory Committee (SPAC) is convened to dicusss the procurement strategy

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Program Decision Document

7.2.15 The activities of the definition phase are summarized in the Synopsis Sheet (Effective Project Approval) or SS(EPA).

Purpose of the SS (EPA)

7.2.16 The purpose of the SS(EPA) is to obtain:

- approval for the selected option
- agreement with the P, O&M costs and method for funding associated with implementation of the selected option
- agreement to proceed to the implementation phase
- Vote 5 funding for the implementation phase

Who approves the SS (EPA)?

7.2.17 Departmental approval of the SS(EPA) is dependent on the total project cost estimate and the approval authority shall be in accordance with the Project Approval Summary Table provided on Page 7-23.

Once approval of the SS(EPA) has been obtained, the project must seek expenditure authority in accordance with the authorities established in the same Project Approval Summary Table.

What happens upon approval?

7.2.18 Upon approval of the SS(EPA) the following occurs:

- the project status for the implementation phase of the project is amended to "B" status in the PS module of the FMAS

  Note: *Upon approval of expenditure authority, the project status for the implementation phase of the project will be amended to "A" status in the PS module of FMAS*

- in the case of a "gated" project, the project status for the remainder of the project is amended to "C" status in the PS module of the FMAS
- the implementation phase commences

Implementation Phase

Key Activities

7.2.19 Key activities in the implementation phase are:

- the final shifting of project leadership from the sponsoring organization to the implementing organization

  Note: *Depending on the magnitude of the project and spending on definition (e.g. an MCP), this shift may have taken place upon commencement of the definition phase*

- the execution of the approved Project Management Plan (PIP) (see Page 9-25)and transition to the Life Cycle Management System (LCMS)
- project reporting as required
- annual or as required monitoring by the project Senior Review Board (SRB) (See Page 9-45)
- preparation of the Project Completion Report and Lessons Learned

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Program Decision Document

7.2.20 All program approvals will have been received at this point. No further program documentation is produced for Senior Management unless

- there is a significant change to the scope,

- there is an increase in funding requirements
- unless the project is being approved in "phases" or "cycles".

Note: Project progress reports may be produced in accordance with the implementation plan or as directed. Such reports ***are not*** *to be used as program decision documents.*

Project Schedule Extension

7.2.21 In some cases, the project schedule may need to extend beyond that originally planned. The program management actions required will depend upon whether additional funds are required, as outlined in the table on the next page.

Use this table to determine if an amendment is required:

If the extension to the project schedule will	Then	And the PL shall ensure that:
Not cause the project to exceed the approved funding ceiling	No SS amendment is required. The PL should approve the extension after consulting with the SRB.	Additional funding, if required, is to be provided by the Sponsor FMAS is updated to reflect revised cash phasing. Organizations providing PMPYs agree to continue support. The extension is noted in the annual project update included in the LTCP.
Cause the project to exceed the approved funding ceiling	An SS amendment is required and must seek formal approval. See block 7.2.26	

Change in Scope

7.2.22 Significant changes in scope of a project must be submitted by means of a Synopsis Sheet Amendment. Neither the PL nor the SRB has the authority to approve a change in the scope of a project. Departmental approval for a change in scope rests with the approval authority as described in the table on page 7-23. In addition, a significant change in scope (whether it affects the project costs or not) must be submitted to the MND or TB for approval via the Synopsis Sheet Amendment.

Close out

7.2.23 This activity includes the formal acceptance of the final deliverables and the submission of a project completion report, a discussion of which can be found in Page 9-43.

After the project is closed-out, equipment is managed as part of the Life Cycle Management System (LCMS).

Impact on FMAS

7.2.24 Every effort must be made to take early action to close out projects early thereby releasing funds which are surplus to project requirements.

When payment action has been completed for all current liabilities, the Project Manager/Procurement Officer shall ensure that, within the FMAS, the final "plan" costs are adjusted to reflect final project expenditures. DMAC 4 is then advised to close the project in the FMAS.

Contingent Liabilities

7.2.25 Within FMAS, projects shall not be held open and funds earmarked to meet contingent liabilities, which are obligations that may arise as a result of potential future costs that relate to past transactions or events (for example, litigation costs arising out of a breach in contract; damages for personal injury or to property). Should the contingent liability realize itself, the sponsoring Level One organization shall advise DMAC who will adjust the funding level to the new forecast expenditure in the FMAS amount to allow for payment of the liability.

Note: *Even though a project has been closed in the FMAS, the Department will still have the authority to expend funds up to the TB/MND approved limit for valid project related activities (including contingent liabilities). If the cost exceeds this approved limit, submission of a SS Amendment will be required.*

Synopsis Sheet Amendments

When to do an amendment

7.2.26 An amendment is required when:

- there is a significant change in scope to a project
- a change in the total project costs will exceed the approved expenditure ceiling (in BY dollars)

Context for the term "significant"

7.2.27 The definition of "significant" in the above context is at the discretion of the Project Leader **who shall consult the SRB**. Normally, significant changes will involve changes on capability levels, policy or personnel.

Synopsis Sheet

7.2.28 Synopsis Sheets are incomplete documents until approved and signed by the Sponsoring Level One Manager.

Any changes prior to the Synopsis Sheet being approved are treated as changes to a "draft". For changes to the Synopsis Sheet subsequent to the approval, a Synopsis Sheet Amendment must be submitted to the Sponsoring Level One Manager for approval and sign-off.

This revised document will replace the previous version of the Synopsis Sheet (or pre-1996 documentation) as the binding project decision document. Amendments (AL) shall be annotated with the AL number and date.

For example: SS(EPA)-00001234 AL1 Oct 99.

SS(ID)

7.2.29 A project in this early stage of options analysis would not normally require an amendment unless the deficiency is changed, additional funds are required, or the planned cost increases significantly. No TB or MND expenditure authority is required.

SS(PPA) Amendment

7.2.30 A SS(PPA) amendment is only required if there is a significant change in scope or increase in funding requirements associated with the "definition" activities that have been approved. The SS(EPA) which results from the definition phase would address the implementation requirements. That said, when definition activity suggests that the cost of the project shall exceed that planned in the LTCP, project staff should ensure that those responsible for programming the funds, Level One coordinators for non-strategic and DFPPC for strategic projects, are made aware of the potential implications.

SS(EPA) Amendment

7.2.31 A SS(EPA) amendment is required if a project cannot be implemented within the original scope or $BY funding ceiling approved by the MND or TB.

Approval process

7.2.32 The approval process and financial criteria applicable thereto are described in Part 3 to this Chapter and applies to original and amended Synopsis Sheets.

Waiver of Synopsis Sheet (PPA)

When a waiver would be considered.

7.2.33 There could be cases (e.g. commercial off the shelf equipment) when the options analysis phase produces data that is sufficiently refined to provide a "substantive estimate" or given the nature of the requirement, there is only one viable option which satisfies the capability deficiency. In such cases, as no definition funds are required, a waive of the SS(PPA) would be appropriate.

Who can authorize a waiver?

7.2.34 The Project Leader, upon consultation with the SRB, may authorize the waiver of a project definition phase. This decision should be noted in the subsequent Synopsis Sheet (EPA).

At the discretion of the PL, the decision to waive a project's definition phase may be submitted to PMB.

Impact on SS (EPA) of a Waiver

7.2.35 When a SS(PPA) waiver is granted, the SS(EPA) must fully discuss the options and life cycle cost analysis which justify the selection of the preferred option.

Phased Implementation

Risk Reduction

7.2.36 Two implementation methodologies are used with "high risk" projects. These methodologies are:

- Gateway management: This management approach requires that milestones be established, with "off-ramps" for each major stage. A formal decision may be required for each designated off ramp
- Evolutionary Development: An project is parceled into phases and cycles with a useable functionality delivered at the end of each cycle

When to use the Gateway Management

7.2.37 This approach should be considered for projects with high risk or when the project implementor cannot commit to the final end product as a result of rapidly changing technology issues (e.g. IM/IT projects). Consultation with TB Sec during development of the PPRA will determine whether a gateway management approach is appropriate.

Risk Mitigation and Gateway Management

7.2.38 When using the Gateway Management system, risk mitigation is addressed by providing a description of what DND will do if things go wrong.

Example: *If component X of the project cannot be delivered by May 1999, then the implementation of the next phase of the project will be reconsidered before spending more effort/resources on this project.*

Gateway Management Methodology

7.2.39 An appropriate use of this approach would be to define a series of gates/off-ramps based on deliverables or events which must occur before authorization for the next phase of the project would be sought. These gates should relate to the project's Work Breakdown Structure and outline actions which would follow the failure of the events including shutting down the project, amending timelines, de-scoping or finding a different solution.

Dependencies must be addressed

7.2.40 When using the Gateway Management methodology, the relationship with and dependencies on other projects must be addressed. TB expenditure authority may need to be sought after each key milestone where there has been an increase in functional capability (deliverable).

Format for seeking approval

7.2.41 When using the Gateway Management methodology, authority to proceed would usually be sought in the form of an SS(PPA). Each SS(PPA) submission is a formal "amendment" that documents progress and success, and that seeks expenditure authority to proceed to the next gate. For the final phase of the project, the SS(PPA) format would be used.

Evolutionary Development

7.2.42 With Evolutionary Development, each phase delivers a capability. The subsequent phases build on or enhance the earlier phase. This is demonstrated graphically below:

	Cycle 1	**Cycle 2**	**Cycle 3**	**Cycle 4**
Phase 1	Definition	Implementation		
Phase 2		Definition	Implementation	
Phase 3			Definition	Implementation

After implementation, each phase will transition to In-service support and lifecycle management.

Omnibus Projects

What is an Omnibus Project?

7.2.43 An omnibus project consolidates several closely related requirements into a single proposal that contributes to a specified capability.

A key feature of the "omnibus" project is the "parent - child" relationship. The SS(ID) describes the full scope of the proposal and recognizes that the proposal will spawn "children" in the form of stand alone projects.

These children will be identified during the definition and implementation phases. Each "child" will propose to deliver a complete operating capability that meets a requirement contained within the "parent" omnibus project but which is not dependent on a capability to be delivered by any of the other children.

Phased approach to Implementation

7.2.44 Omnibus projects involve a phased approach to implementation which offers better overall visibility than managing several smaller projects separately.

When to use this approach?

7.2.45 The key issue is: "Does the omnibus approach more clearly explain what is needed than addressing projects separately?"

The omnibus proposal is preferred when a number of independent elements contribute to a given capability.

MCP or not?

7.2.46 Subject to TB direction to the contrary, an omnibus project with a total value over $100M will not be managed as an MCP if none of the resulting "child" projects will exceed $100M.

If a spawned "child" project exceeds $100M or is of significant risk, then TB Sec should be consulted to determine whether the "child" and/or parent shall be managed as an MCP.

Synopsis Sheets for Omnibus Projects

7.2.47 For omnibus projects, a single proposal in the form of a SS(ID) will be developed identifying the related requirements which will contribute to a specified capability. Approval of the SS(ID) will be in accordance with the Project Approval Summary Table provided on page 7-23. The approved SS(ID)s for omnibus projects must be distributed to PMB members for information purposes through submission to DFPPC.

Options analysis activities on the omnibus project will usually lead to the creation of individual projects addressing a specific aspect of the overall capability. Some may require definition activities while others will enter implementation directly. In all cases, the necessary SS(PPA) and/or SS(EPA) shall be submitted for approval in accordance with the Project Approval Summary Table provided on page 7-23. An SS(ID) for the "child" projects is not required.

Environmental Considerations

7.2.48 Special environmental considerations and processes, beyond the individual assessment for each "child", may be required for an omnibus project in accordance with Canadian Environmental Assessment Act requirements (refer to Chapter 9, Annex B and ADM(IE)/DGE for further details).

Managing Omnibus Projects in FMAS

7.2.49 Omnibus projects will be identified in the PS module of FMAS with a single project number (Work Breakdown Structure -WBS) with each known "child" created as a subordinate WBS element. Upon approval (PPA or EPA) of a "child" project, the subordinate WBS element, and its related project information, shall be "broken out" from the omnibus project structure and created as a separate WBS with a distinct project number. The Omnibus project planned costs would be reduced accordingly.

CAUTION!!! Project Splitting Prohibited

7.2.50 The Omnibus approach must not be used to circumvent the approval process by "splitting a project" to bring the value of each individual component within the MND's expenditure authority. Each "child" project of an omnibus project must be a discrete requirement that is not dependent on the completion of another "child" project in order to meet its intended objective.

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Contents

Chapter 7, Part 3 - Project Approval

Approval Overview

With regards to capital projects, two types of approval are required for projects and/or phases thereof. They are:

- **Departmental Approval** which signifies the recognition and acceptance of a project's objective in delivering an identified capability
- **Expenditure authority** which authorizes DND/CF to expend financial resources towards delivering an identified capability. Note that project authority is inferred when expenditure authority is granted

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In this Part

The following topics are covered in this part.

Topic	Page
Project Approval Summary Table	7-23
Departmental Approval	7-24
Expenditure Authority	7-25
Memorandum of Understanding	7-26

Project Approval Summary Table

CATEGORIES	REVIEWED/ENDORSED BY	DEPARTMENTAL APPROVAL	EXPENDITURE AUTHORITY
Synopsis Sheet (ID) (including Omnibus)			
Vote 1 resources required	SRB [1]	Sponsoring Level One Manager [2]	Sponsoring Level One Manager

no resources required		Sponsoring Level One Manager [2]	
Synopsis Sheet (PPA/EPA)			
Miscellaneous reqrs $1M-3M Construction Projects $1M-$5M	PSC [3] N/A	Sponsoring Level One Manager	MND
Miscellaneous reqrs or Construction Projects <$1M		Sponsoring Level One Manager	Sponsoring Level One Manager
$3-30M[4] ($5- 60M for construction)			
with LTCP	SRB/PL, PSC	Sponsoring Level One Manager	MND
out-of-cycle [4]	SRB/PL, PSC	Sponsoring Level One Manager	MND
non-LTCP	SRB/PL, PSC	PMB	MND
$30[4]-100M ($60M-$100M for construction)			
with LTCP	SRB/PL, PSC	Sponsoring Level One Manager	TB[4]
out-of-cycle [5]	SRB/PL, PSC	Sponsoring Level One Manager	TB
designated strategic	SRB/PL, PSC	PMB	TB
non-LTCP	SRB/PL, PSC	PMB	TB
>$100M (non MCP)			
with LTCP	SRB/ PL, SPAC	PMB	TB
out-of-cycle [5]	SRB/ PL, SPAC	PMB	TB
designated strategic	SRB/PL, PSC	PMB	TB
non-LTCP	SRB/ PL, SPAC	PMB	TB
MCPs	SRB/PL, SPAC	PMB	TB

1. SRB review/endorsement is required for MCPs but is at the Level One Manager's discretion for non-MCPs.
2. Once approved by the Sponsoring Level One Manager, a copy of the Synopsis Sheet for an MCP or omnibus project is forwarded to DFPPC Coord who will forward an information copy to all members of PMB.
3. The procurement strategies for MR projects over $2M are to be reviewed and endorsed by the Procurement Strategy Committee (PSC) and, at their direction, subsequently be reviewed by the Procurement Review Committee (PRC) prior to approval.
4. Any project in this range which has been designated "strategic" shall be tabled at PMB.

5. The term "out-of-cycle" means that the project is contained in a LTCP but the Synopsis Sheet documentation was not submitted concurrently.

Departmental Approval

Who grants Departmental Project Approval?

7.3.1 Once the SS(PPA) or SS(EPA) is reviewed by the project's SRB:

Departmental Approval is sought from:

- the sponsoring Level One Manager in the case of non-strategic projects under $100M and identified in the LTCP
- PMB in the case of projects greater than $100M

Expenditure Authority must then be obtained (see next page)

Strategic projects

7.3.2 All strategic projects, regardless of value must be considered at PMB.

Projects not in the LTCP

7.3.3 Only in exceptional cases would a project be seeking PPA or EPA without having been identified in the LTCP. In such cases PMB approval is required regardless of value.

Departmental Oversight

7.3.4 Departmental oversight of such projects will be provided by:

- an SRB which consists of representatives from all Groups and ECSs (see Chapter 9)
- the LTCP which is tabled at PMB and which identifies those projects seeking approval from the MND or TB

Projects Reviewed by PMB

7.3.5 PMB may direct that any project contained in an LTCP be presented as a stand-alone item to the PMB.

All projects in excess of $100M will be given this level of review unless PMB directs otherwise. All projects seeking approvals which are not contained in an approved LTCP will be tabled as stand-alone items at PMB.

Expenditure Authority

Projects Exceeding DM's authority

7.3.6 Authority to spend capital funds for any project that will exceed the DM's delegated authority (currently $1M) rests with government ministers.

Expenditure Authority for Project > $1M

7.3.7 Expenditure Authority for projects greater than $1M depends on the value of the project:

- equipment projects up to $30M or construction projects up to $60M are approved by the MND
- equipment projects greater than $30M or construction projects greater than $60M are submitted through the MND's office to Treasury Board

Expenditure Authority via the LTCP

7.3.8 The preferred approach is to seek Expenditure Authority through the LTCP. DFPPC is responsible to consolidate SS(PPA)/(EPA) submissions into the Departmental LTCP(E). The plan is then reviewed by PMB and submitted through the MND to Treasury Board. The MND will approve projects within his authority concurrently with endorsement of the LTCP.

ADM(IE) will consolidate the construction submissions in the LTCP(C).

A note about MCPs: MCPs are not submitted for approval via the LTCP but are staffed as separate submissions subsequent to PMB approval.

Out-of-cycle Submissions

7.3.9 An "out-of-cycle" submission is one which is identified in the LTCP with the appropriate cashline, but for which the documentation was not completed in time for inclusion in the LTCP.

In such cases, the departmentally approved document is submitted to DFPPC for staffing to the MND or TB as applicable. In the case of construction projects, ADM (IE) will perform the coordination function.

TB Project Approval Policy

7.3.10 The TB project approval policy is contained in the Treasury Board Manual *Capital Plans, Projects and Procurement*, Chapter 2-1, available at the Treasury Board Secretariat Internet site.

Memorandum of Understanding

Memorandum of Understanding

7.3.11 An MOU is a written, approved, non-contractual, non-legally binding arrangement that may be developed at any level within DND/CF, whereby there is agreement to cooperate in a project, program or similar undertaking. Other participants may include: departments of the federal or provincial governments, crown corporations or agencies, industry, foreign armed forces, departments or ministries of foreign governments, and North Atlantic Treaty Organization (NATO) agencies.

Cannot commit resources through MOU without approval

7.3.12 Appropriate approval shall be obtained in accordance with existing departmental or governmental resource control regulations before any DND resources are committed by an MOU.

Negotiations for commitment of DND resources may be initiated at the DG or Asst ECS level but shall only be undertaken under the direction and approval of the ECS/Group Principal.

Approval required.

7.3.13 Coordination procedures to be followed in the development and promulgation of MOUs shall be similar to procedures applicable to program proposals and submissions described in the Summary Table on page 7-21.

Resource commitments must be approved in accordance with the Summary Table on page 7-23 before an MOU is negotiated.

Time constraints

7.3.14 If lack of time precludes the use of the normal resource allocation process, i.e. a Synopsis Sheet, the sponsor must still obtain approval of the appropriate authority before the MOU is signed.

References

7.3.15 For further information concerning MOUs, see DAOD 7014 and A-AD-005-001/AG-000, Memoranda of Understanding Guidelines and Index.

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Chapter 7, Part 4 - Completion of Synopsis Sheets

Synopsis Sheets

Synopsis Sheets evolve with the project. As the project matures and options analysis and definition activities are completed, information is gathered and refined for inclusion in the next iteration of the Synopsis Sheet.

Executive Summary

A Synopsis Sheet represents an "Executive Summary" of the work done to date and should not be considered a repository of project detail.

Detailed Guidance

This Part describes the format to be used in the preparation of Synopsis Sheets.

In this Part

The following topics are covered in this part.

Topic	Page
General Information	7-28
Description of Synopsis Sheet Fields	7-31

General Information

Length of Documents

7.4.1 The document should reflect the level of work.

An SS(ID) should be no more than three pages.

SS(PPA) or SS(EPA) can be up to a maximum of six pages with the remaining detail contained in an annex or the project brief in the case of MCPs.

Synopsis Sheets for Miscellaneous Requirements shall not exceed one page.

Remember the audience

7.4.2 It is important to remember the audience when drafting a Synopsis Sheet. Members of Treasury Board and their analysts or the MND may not be familiar with DND terminology. DND acronyms can be used once spelled out, but technical jargon is to be avoided to ensure simplicity in understanding. Avoid the use of implicit phrases/logic.

Unilingual vs. Bilingual

7.4.3 Synopsis Sheets seeking MND expenditure authority can be prepared in the language of the originator (English or French).

Those going to Treasury Board must be in bilingual format. (*However, TB allows Projects Briefs and annexes to submissions to be unilingual.*)

Synopsis Sheet Format

7.4.4 The format provided in this section is to be used in preparing Synopsis Sheets. A general summary of the fields in each document is shown on the next page. These sections do not apply to all projects, in particular Construction (see Part 8) projects will require specific technical sections.

Synopsis Sheets should be tailored to ensure that all information necessary for senior management resource decisions is presented.

Headings may be omitted if they are not applicable.

Summary of Fields Required

7.4.5 The table on the next page outlines the fields required. The shaded rows represent documentation that forms part of the Synopsis Sheet but is retained internal to the Department and is not submitted to Treasury Board or the MND.

Seeking Help

7.4.6 If you are unsure as to whether a section applies to your project, contact your DFPPC analyst (see block 9.7.1).

If you need assistance in preparing Synopsis Sheets, contact your DFPPC analyst.

FIELD SUMMARY

Field	SS(ID)	SS(PPA)	SS(EPA)	MCP	MR
Header: ORIG or AL# , Project number & date	✓	✓	✓	✓	**

Title: Synopsis Sheet (type) PROJECT NAME & NUMBER	✓	✓	✓	✓	**
File Number	✓	✓	✓	✓	✓
Subject - main purpose of the submission		✓	✓	✓	✓
Proposal		✓	✓	✓	
Cost	✓	✓	✓	✓	✓
Chargeable to	✓	✓	✓	✓	✓
Capability Deficiency	✓				
Project Description		✓	✓	✓	✓
Project Status	✓	✓	✓	Project Brief (PB)	
Significant Factors					✓
Project Linkage		✓	✓	PB	
Options Analysis (SS(ID) only lists broad options to be investigated)	✓	✓	(if no PPA)	PB	
Risk Assessment	optional	✓	✓	PB	
Project Management Approach	✓	✓	✓	PB	
Business Case		if applicable	if applicable	PB	
Cash Flow	✓	✓	✓	✓	
Cost Breakdown (for appropriate phase - options analysis, definition or implementation)	✓	✓	✓	PB	
Schedule	✓	✓	✓	✓	
Recurring P, O&M		✓	✓	PB	
Procurement Strategy		✓	✓	✓	✓
Agreements		✓	✓	PB	

Related Legislation and Policies (only required for IM/IT projects)		✓	✓		
Policy & Communications		✓	✓	PB	
Departmental Contacts		✓	✓	✓	
Record of Decisions of PSC/PRC/SPAC		✓	✓	✓	✓
Internal Departmental Documentation (ANNEXES)					
TABLE I -Recurring P, O&M Table		✓	✓	✓	✓
TABLE II -Capital Costing Sheets by Reporting Object		(definition only)	✓	✓	
TABLE III - SRB Checklist		✓		as applicable	
Signature Page and Decisions Requested	✓	✓	✓	✓	

Note: ** No prescribed numbering convention for MRs. At the Level One Management's discretion.

PSC - Procurement Strategy Committee

PRC - Procurement Review Committee

SPAC - Senior Project Advisory Committee

Description of Synopsis Sheet Fields

Page Headers

7.4.7 In the upper right corner, each page shall have a header indicating the project number and the effective version date.

Example "Orig 00001234 Nov 98"

If the document is an Amendment to a previously approved document, the term

"AL" (Amendment List) will appear in lieu of "Orig".

Example. " AL 1 00001234 Nov 98

MRs project numbers may not necessarily have FMAS PS numbers.

Page Footer on First page for project within MND approval.

7.4.8 For all projects within the MND's approval authority, the SS(PPA) and (EPA) shall include a signature block for the MND at the bottom of the first page. The MND's signature constitutes expenditure authority for the project. The signature block shall be separated from the main text with a horizontal line as follows:

Approved:

Minister **Date**

Projects proceeding to TB for approval do not have a footer.

Document Title

7.4.9 The first line should be the type of Synopsis Sheet - SS(ID), SS(PPA) or (SS (EPA), followed by the Project Number and full title.

Example **SYNOPSIS SHEET** (Effective Project Approval)
PROJECT 00001234 MK 16 TORPEDO

File Number

7.4.10 The file number "3136-6-project number", which is the file number for the FMAS departmental database maintained by DMAC, is to be used. (See Chapter 9).

Subject

7.4.11 This section is not required in a SS (ID). Briefly summarize the main purpose of the submission. preferably in a dozen words or less. Typically one of three approvals will be sought:

- "Effective approval of a capital project"
- "Preliminary approval of a capital project"
- "Expenditure authority for a capital project"

Proposal

7.4.12 An SS(ID) does not require this section.

It is important to ensure that the Synopsis Sheet requests the correct decisions when presented to either the MND or TB as required. The two main approvals that can be requested are as noted above:

- Preliminary Project Approval (PPA)
- Effective Project Approval (EPA)

Note that the costs shown in this section are "full-up" (see Chapter 9).

Gated projects such as IM/IT projects seek different approvals from TB (see Pages 7-18 and 7-19 on Phased Implementation).

Cost

7.4.13 For SS(PPA)s and SS(EPA)s one of the tables at Annex B shall be completed and inserted in this section. SS(ID)s should include Rough Order of Magnitude (ROM) costs expressed in constant dollars ($CY) and budget-year dollars ($BY). (For a definition of CY and BY dollars see Block 9.2.7)

Contingency funds must be included in project costs (See Block 9.2.15).

Chargeable to

7.4.14 The *Chargeable to* section should indicate to which "Vote" the cost is being charged, e.g. "Defence Services Program, Vote 5, excluding GST". For a detailed description on Votes see Chapter 1, Part 4.

Capability Deficiency

7.4.15 This section is required only in the SS(ID).

A clear statement of the capability deficiency to be resolved by the project is the single most important component of the SS(ID) and will constitute its largest section. It is this section that will allow auditors to determine if the project actually delivers a solution that resolves the problem.

The following questions must be addressed:

What is the capability deficiency? What is the problem that the project will resolve? Use mission/operational terms to describe it. Make pertinent linkages to doctrine and threat assessments. If possible, the deficiency should be described in both quantitative and qualitative terms. The technical specifications of a particular piece of hardware or details of the anticipated solution must not be included.

How does the deficiency relate to government/DND policy? (White Paper/Defence Strategy 2020/ the Defence Planning Guidance, mission or objectives).

Why does the requirement exist? Is it a response to a new policy, a new tasking, changing threat, safety, obsolescence, increased operating costs?

How is the requirement being met now? What capability is required? When? Describe in performance terms that can be measured and reported.

What is the impact of maintaining the status quo? What are the consequences of not taking action? Include military, domestic, international, industrial, socio-economic, and cost factors if pertinent.

Project Description

7.4.16 This section is not required in an SS(ID).

This field provides a description of what the Department will deliver and what is required. The explanation of project objectives and goals should clearly identify the following:

- policy foundation (Government direction as well as departmental e.g. DPG)
- capability deficiency to be resolved (in SS(PPA) and (EPA) a brief summary of the "Capability Deficiency" identified in the SS(ID))
- rationale for the project, (safety considerations, P, O&M savings, basic replacement, etc.)
- functional capability to be delivered (specify exactly what the major deliverables will be)
- for IM projects (separate sections may be required to discuss the following)
    - consistency with government-wide strategies and departmental plans
    - describe how services will be enhanced through the use of technology
    - discuss the transition plans for conforming to IT standards as referenced in an open systems environment model
- performance targets by which project success can be measured

---

Status

7.4.17 A concise description of the current stage/status of the project is required. It includes what has been achieved to date (including functional capability) and what is planned for the next phase for which expenditure authority is being requested in this Synopsis Sheet.

Project Linkage

7.4.18 Other projects associated with this one are to be listed. In many cases, there are a number of projects which together resolve a capability deficiency or are linked to achieve a desired defence outcome.

The listing should be derived from "critical dependencies".

Questions to be addressed include:

- Is the success or failure of this project going to directly impact other projects?
- Is the success or failure of the other projects (including R&D) going to directly affect this project?

Significant Factors

7.4.19 This field is only applicable to the abbreviated Synopsis Sheet of a Miscellaneous Requirement (MR) project (see Part 6).

Discuss any other significant factors, such as operational imperative, risk and business case that are considered essential for the making of an informed decision by senior management.

Options Analysis

7.4.20 This section provides a brief outline of the options the Department has analyzed and the current status of the recommended option at the time of submission. It provides justification for the selected option. The following table describes the contents by program decision document:

Document	Content
SS(ID)	For the SS(ID) give a broad identification of the options to be investigated (if available). This should be completed prior to the request for options analysis funds and would identify the possible options from an operational point of view. It is essential that the document identify the range of feasible solutions by including the lowest possible capability level (i.e. the one that may contain deficiencies but would still be militarily viable if implemented) and the optimum military solutions (i.e. one that is essentially unconstrained by cost considerations). The information provided here becomes a major factor in the options analysis.
SS(PPA)	This section is particularly important in a SS(PPA). The detailed analysis must be based on the fully defined statement of requirement and the life-cycle costing of the asset for each option examined and justification of the option that has been chosen will be provided.
SS(EPA)	A brief summary is provided. A detailed section would only be included in this document if an SS (PPA) had not been completed, i.e. a waiver had been received.

Risk Assessment

7.4.21 In this section of the Synopsis Sheet the key risks and risk mitigation techniques must be documented sufficiently to satisfy TB Ministers/MND that the project is appropriately managed. (The TB Manual Capital Plans, Projects and Procurement Chapter 2-2 Appendix C provides a detailed explanation of high, medium and low risk.) The Synopsis Sheet should examine how the project was classified based on TB definitions. For the SS(ID), give a broad statement of risk (if known).

A note about Project Profile and Risk Assessments (PPRAs): PPRAs, prepared separately and submitted in advance, are mandatory for any project which requires TB approval. One might ask why a section on risk assessment is required in the synopsis sheet when a PPRA has been prepared. The answer is that the PPRA is provided to TB Secretariat not the Ministers sitting on the cabinet committee, therefore an executive summary of the risk is required.

PPRAs are recommended for projects seeking MND approval.

Project Management Approach

7.4.22 The project management approach provides the Treasury Board with the necessary assurances that the Department has appropriate project accountability, control and management systems in place to monitor the project's progress and react to changing circumstances.

Summarize the "Management Framework" section of PPRA, if a PPRA was prepared.

Ensure roles of PL, SRB, SPAC are clearly identified. Ensure that it is clear that the PL (not the SRB) is accountable for all aspects of the project in accordance with the TB definition of a PL.

Business Case

7.4.23 This section is mandatory for IM projects. Specific project proposals must be related to departmental information technology strategies and plans in the context of program priorities and measurable improvements in program performance. In most instances, IM projects submitted to TB must be accompanied by a Project Brief which explains the complexities of the business case and of the systems development. Additional information on the Project Brief is provided in Appendix F to Chapter 2-1 of the TB Manual Capital Plans, Projects and Procurement.

Any projected savings generated by the project are to be specified. Guidance on Business Case methodology can be found at Chapter 10 of the ADM(Fin CS) Costing Handbook, DIN reference:

http://admfincs.dwan.dnd.ca/subjects/fin_docs/handbook chap10_e.asp#Intro

Cash Flows

7.4.24 The cash flow information is to be shown in a single table, with separate cash lines (commonly referred to as C-lines) (in Budget Year (BY) dollars -see block 9.2.11) for full-up and departmental costs, and must include the following:

- amount spent to date
- costs for definition phase (cost to arrive at EPA) (Vote 5)
- other costs associated with the project

The format is shown below:

	98/99	99/00	00/01	01/02	----
Departmental ($BY) (Excluding GST)					
Full Up ($BY) Excluding GST)					

Additional Costing Tables

7.4.25 For the SS(PPA) or phased approvals, one table as above would detail the phasing of the funding for which expenditure authority is being sought. A similar table would detail the total project requirement. In cases of multi-phased projects tables by phase might also be used.

Cost Breakdown

7.4.26 For the SS(ID) funding required for the options analysis activities would be broken down here. (As this phase is funded by the Sponsor out of Vote 1, P, O&M no submission to the MND or TB is required.)

A brief breakdown of project costs, using "macro level" components that make sense for the project would be provided. An example of this table is provided on the next page.

Cost Breakdown Example

7.4.27 This is an example of the breakdown of project costs:

Component	Cost (000$)
Equipment	444
Installation	34
ILS	23
Software	45
Project Management Costs	35
Contingency	90
Total Cost ($CY)	671
Escalation (Model Year)	18
Total Cost ($BY)	689

Schedule

7.4.28 Key project milestones are to be listed and must be realistic. The milestones may be reviewed by TB analysts for reasonableness and achievability and the impact of delays for more complex areas.

The schedule should include the proposed start date, critical schedule dates, completion date of the implementation phase, supported by the planned time-phasing of the work.

Allowances should also be made for the time required to complete the contracting process.

The table below indicates the type of milestone data that is required.

SS(ID)	SS(PPA)	SS(EPA)
SS(PPA) approval	EPA approval	Requisition raised
SS(EPA) approval	Requisition raised	Contract Award
	Contract Award	Initial Delivery
	Initial Delivery	Delivery Completed/Beneficial Occupancy Date

	Delivery Completed/Beneficial Occupancy Date	

Recurring P, O&M

7.4.29 While the recurring operating cost implications for the project are to be addressed, the Synopsis Sheet should only reflect the summary cost data.

The total annual recurring P, O&M must be broken out. For example:

Personnel Cost	$
Operations &Maintenance	$
Total	$

This section is used also to identify the funding source for the incremental

P, O&M. Such costs are normally absorbed by the sponsoring Level One Manager or the affected Groups, in the case of National Systems or projects which have cross-Group implications. Note P, O&M costs are addressed in detail in the Departmental Annexes - see Part 5 and Annexes D and G.

As IM projects usually have significant impacts on job requirements, training and staff deployment, the section must include an analysis of the human resources impact of the proposal and departmental strategies for addressing these impacts.

Procurement Strategy

7.4.30 This section is not required for an SS(ID).

A comprehensive description and justification of the proposed procurement strategy for the project is required. Place particular emphasis on any related potentially sensitive public issues.

The applicability of the following must be identified:

- North American Free Trade Agreement
- World Trade Organization/Agreement on Government Procurement
- Canadian Agreement on Internal Trade

Refer to Chapter 10 for additional information on International Trade.

For each procurement for which the proposed procurement strategy is non-competitive, a statement must be included that clearly identifies which provision(s) of which applicable trade agreement(s) is/are allowing limited tendering. In those cases in which none of the trade agreements applies, a statement must be included that clearly identifies which of the three possible conditions of the Government Contracts

Regulations is permitting the setting aside of the mandatory requirement to solicit bids.

All procurements exceeding $2M must be reviewed for potential opportunities to support industrial and regional development and other national objectives in accordance with government guidelines (refer to Chapter 9 and the Treasury Board Manual *Capital Plans, Projects and Procurement*, Chapter 3-2).

Submissions for SS(PPA) must include a section on socio-economic considerations. SS(PPA) submissions must also include a copy of the record of decision of the Procurement Strategy Committee (PSC), the Procurement Review Committee (PRC) (if applicable) or the Senior Project Advisory Committee (SPAC) (if applicable) if definition spending will exceed $2M or will influence the overall procurement strategy for the project.

Submissions for SS(EPA) must include a section on socio-economic considerations and a copy of the record of decision of the PSC, PRC (if applicable) or the SPAC (if applicable).

The Public Works and Government Services Canada (PWGSC) point of contact is to be identified.

For a discussion on Procurement Review Committees refer to Chapter 9.

Agreements

7.4.31 Describe any agreements (including Memoranda of Understanding) which have an impact on the project. Provide details of agreements for international co-operation, federal-provincial arrangements or agreements with other government departments.

The description must distinguish between existing agreements that affect the project and agreements entered into specifically to further the project or required before progress can be made.

Note: MOUs which commit departmental resources must have the appropriate approval prior to entering into the agreement. (see Blocks 7.3.11 to 7.3.14)

Copies of agreements and similar documents must accompany the project submission.

Other related legislation and policies

7.4.32 IM projects must demonstrate compliance with the following:

- Security Requirements: These must be reviewed early in the project. For guidance on technical security features consult Treasury Board Information and Technology Standards (TBITS) 6.6, Security Profile.
- Information management and privacy: The project must adhere to government policy and departmental practices for information management and the collection and use of personal information.

Policy and Communications Issues

7.4.33 The aim of this section is to alert senior management to socio-political issues that could put the project at risk.

It should briefly outline how DND intends to inform Parliament and the Canadian public of both the rationale for the project and progress in bringing it to fruition.

The Communications Synopsis/Plan is to be appended whenever the project is likely to attract significant public attention that might require a response from government.

DGPA staff must be contacted and will determine what, if anything, should be included in this section. When applicable, the name of the Director General Public Affairs (DGPA) OPI shall be included. DGPA may also be invited as an observer at SRBs (see Block 9.6.8).

Departmental Contacts

7.4.34 Provide the name, title and telephone number of the: Project Leader, Project Manager and DFPPC advisor.

Departmental Annexes

7.4.35 Even though annexes are stripped from the Synopsis Sheet prior to its submission to the MND or TB, the annexes described in the next section are critical elements of the total document.

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Chapter 7, Part 5 - Description of Departmental Annexes

Internal Documentation

Additional information is required to assist departmental program management and accountability, but is not required for distribution externally.

Appended to Synopsis Sheet documents

This information is to be appended to the Synopsis Sheet as a detachable annex, consisting of three numbered tables and a signature page.

Reviewed by the SRB

This information must be provided to the SRB at the same time as the Synopsis Sheet documentation is being reviewed. A Synopsis Sheet which has not had these pages reviewed by the SRB will not be submitted to the MND or TB.

Stripped from Synopsis Sheet Document

As these "internal" pages will be stripped from the Synopsis Sheet before it is forwarded to the MND/TB, staff must ensure that the body of the Synopsis Sheet, including the page numbering format, does not refer to or assume the existence of these data tables.

Submitted to DMAC

When removed from the Synopsis Sheet, the internal documentation is sent to Directorate Managerial Accounting and Comptrollership (DMAC) for retention on the official program files (refer to Chapter 9, Part 1).

In this Part

The following topics are covered in this part.

Title	Page
Personnel, Operations and Maintenance Information	7-45
Project Cost Breakdown by Reporting Object	7-45

Senior Review Board (SRB) Checklists	7-46
Signature Page	7-47

Personnel, Operations and Maintenance Information

Submissions to MND and TBS

7.5.1 A summary of this cost must be shown in the SS(PPA) and the SS(EPA) under the heading "Recurring P, O&M Costs" (refer to Block 7.4.29). As well, because of the long term implications of a capital acquisition in terms of P, O&M support, additional detail is required by the Department.

Program

7.5.2 The fundamental principle relating to all projects is that the sponsoring ECS/Group Principals or affected Groups, in the case of projects with cross-Group implications, should normally absorb the P, O&M requirements.

Funding Options

7.5.3 In addressing this issue the Sponsor and/or affected ECS/Group Principals have the following options:

- absorb the impact within their respective Operating Budgets
- absorb the impact within their respective portions of the National Procurement program and, through liaison with ADM(Mat), identify what offsets are required

---

Effecting Transfers

7.5.4 P, O&M funding changes, where required, will be satisfied via annual "expenditure adjustments" by the affected ECS/Group Principal to transfer the necessary funds to the National Procurement program or the Operating Budget of the Group that will be responsible for Life Cycle support.

The LCMM will be responsible for monitoring this activity.

Critical issue for resolution

7.5.5 Whatever the approach, P, O&M commitment is a critical issue that a Project Leader must resolve prior to submitting the project for consideration or departmental approval by the Sponsor or PMB.

Exceptional Cases

7.5.6 In exceptional cases the issue is to be submitted to PMB for resolution. e.g. Stakeholders will not support the requirement.

Estimating P, O&M costs

7.5.7 To provide the required information to the Sponsor or affected Groups, the project team must address the P, O&M impact, in terms of personnel, equipment operating costs and facility operating costs, of introducing the new system as follows:

- estimate the P, O&M cost of the new system in comparison with the cost of the system it is to replace (when applicable) to determine the net P, O&M cost impact from the time the new system is introduced into service to the time it reaches a steady state relative to P, O&M costs
- determine the P, O&M affordability of the new system or determine what budgetary changes are needed to achieve affordability through liaison with appropriate Groups' Comptroller staff

Table I P, O&M table

7.5.8 The "detailed" P, O&M data described above is captured in Table I of the Synopsis Sheet annexes.

The table used will depend on the nature of the project. Sample tables are contained at Annex C to this Chapter. Two versions of the table are available:

- one for a single Group project
- one for a project which has cross-Group implications

Funding Commitments must be documented

7.5.9 In all cases, confirmation of affordability and commitment to support the P, O&M implications must be documented in the SS(PPA) or SS(EPA) Table I as well as on the Signature Page which authorizes Departmental Approval. Annex G contains sample "decisions" dealing with P, O&M support.

Project Cost Breakdown by Reporting Object

Cost Breakdown

7.5.10 Detailed costing information, by Reporting Object must be available on all projects. This information must be provided to the SRB at the time the Synopsis Sheet documentation is being reviewed.

Table II Costs by Reporting Object

7.5.11 It is essential that the format shown in Table II at Annex D be used. Synopsis Sheet documentation to be presented for departmental approval is not complete without this table.

Removal of Table

7.5.12 Note that this table will be removed from the Synopsis Sheet documentation by DFPPC prior to submission to the MND or TB.

The table will be submitted to DMAC who will validate the information against the FMAS PS before placing the information on the official program file.

Senior Review Board Checklists

SRB Checklists

7.5.13 There are a broad range of issues which must be examined during the project life cycle. In some cases these issues while not readily apparent are of critical importance. To ensure that they are either addressed, or consciously discarded, the SRB checklists at Annex E is to be completed, as appropriate for the document being prepared. Note that the SRB Checklist must be reviewed by the SRB at least annually whether or not approval of a Synopsis Sheet is being considered by the SRB.

ADM (Mat)is OPI

7.5.14 ADM(Mat) is the OPI for the content of the SRB Checklists.

Required to complete Synopsis Sheet

7.5.15 The Synopsis Sheet is not deemed to be complete for departmental approval without the SRB Checklists. An SRB shall not be asked to review a Synopsis Sheet without the SRB Checklist attached.

Project Management

7.5.16 A discussion on the activities conducted during the options analysis and definition phases is included in Chapter 9 - Project Management Considerations.

Signature Page

Official Document

7.5.17 The original Synopsis Sheet plus the annexes and signature page will be placed on the FMAS file retained by DMAC. Copies of this signed Synopsis Sheet will also be distributed to DMG Compt and DFPPC. A sample format for the signature page is available at Annex F. Sample decisions to be included on this page are available at Annex G.

Significance of Decisions relative to stage of project

7.5.18 The nature and significance of the decisions depends on several factors including:

- whether the project is strategic or non-strategic
- whether the project has cross-Group implications
- the stage of the project - SS(ID), SS(PPA) or SS(EPA)

Significance of Signature Page for an SS(ID)

7.5.19 Regardless of whether the project is non-strategic or strategic, the purpose of the SS(ID) signature page is twofold:

- it obtains approval from the Sponsor to proceed to the options analysis phase of the project including, where required, obtaining the requisite resources in support of this effort
- it is the authority to enter the project in the LTCP and the FMAS database

---

Purpose of Signature Page for SS(PPA)

7.5.20 Having determined the preferred option and selected a course of action, the Sponsor (PMB in the case of strategic projects or projects not contained in an LTCP) must now decide whether to commit to the definition phase of the project.

The commitment to the definition phase is agreement "in principle" with the proposed solution and direction to expend staff effort in determining the full impact of the proposal.

The signature signifies:

- departmental approval in principle for the project at the stated "indicative" cost and departmental approval of the definition funding requirements at a "substantive" cost
- notes the potential recurring P, O&M cost (at the indicative level) and the potential sources of offsets or provides direction to determine such offsets (*in cases where the project has cross-Group implications, notes that liaison has taken place and "agreement in principle" has been received from the affected parties*)
- other decisions as required

Annex G provides detailed information with respect to the type of decisions that will be required with respect to the P, O&M costs.

Purpose of Signature Page for an SS (EPA)

7.5.21 Having been presented with the detailed solution, Sponsors (PMB in the case of projects greater than $100M) must now decide whether the project should be implemented and ADM(Mat) must confirm that the proposal is achievable.

This decision must take into consideration the impact of future recurring P, O&M requirements. Therefore, the decisions that are put before approval authority in this section must address:

- departmental approval of the implementation funding requirements at the substantive level
- departmental approval of the recurring P, O&M requirements and agreement of any offsets required by the Sponsor, and/or in the case of projects with cross-Group implications, noting the commitment on the part of affected Groups to support their portions of the recurring P, O&M requirements (see Annex G)
- other directions as required

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Chapter 7, Part 6 - Miscellaneous Requirements

Miscellaneous Requirements

7.6.1 A Miscellaneous Requirement (MR) is defined as a project for the one-time acquisition of new equipment, materiel and/or services where the total project value does not exceed $3M or for the recurring acquisition of replacement equipment and materiel where the individual item value does not exceed $1M.

See Part 3 of Chapter 6 for more information on MRs.

Documentation Required for MR

7.6.2 An MR containing the fields identified on page 7-30 is to be prepared.

A Sample MR is attached at Annex H.

Approval Authority

7.6.3 Departmental Approval rests with the ECSs/GP. Any project greater than $1M requires expenditure authority from the MND. Departmentally approved MRs are to be submitted to DFPPC for routing to the MND for approval.

Cash Management

7.6.4 The sponsoring Level One Manager will normally use ADM(Mat) as the procurement authority. As soon as expenditure authority has been received from the MND or from the Level One Manager, in the case of projects less than $1M, the procurement officer will be notified and procurement action taken. Invoices will be processed against the MR cost centre in accordance with internal orders established by the Level One resource manager. Any changes in cash flow require the resource manager's concurrence.

MR Capital Planning

7.6.5 For a discussion on MR capital planning refer to Chapter 6, Part 3.

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Chapter 7, Part 7 - Major Crown Projects

Major Crown Project defined

As per the TB definition "a project is deemed to be a Major Crown Project (MCP) when its estimated cost will exceed $100M and the TB would assess the project as high risk. TB may direct that projects with total projected cost less than $100M but with a high risk assessment be managed as an MCP. Further TB reserves the right to require any project exceeding the minister's delegated project approval authority to be managed as an MCP."

TB makes determination based on the PPRA

Normally, the determination of MCP status would be based upon the PPRA (see Chapter 9, Part 5) submitted to TB Sec.

The TB policy concerning the management of Major Crown Projects is contained in the Treasury Board Manual Capital Plans, Projects and Procurement - Chapter 2-3.

MCP SOR

Over and above SRB reviews, a Senior Management Oversight Committee (SMOC) at the ECS/Group Principal level will endorse the Statement of Operational Requirement (SOR) for an MCP prior to DM/CDS concurrence (see Chapter 9, Part 6). This endorsement shall occur before any capital financial commitments are made and before any implied commitments are presented to Industry.

In this Part

This Part is broken down into the following topics.

Topic	Page
Memorandum to Cabinet	7-51
MCP Approval Process	7-52
Progress Reports	7-54

Memorandum to Cabinet

Requirement for Cabinet Decision before Definition

7.7.1 Prior to requesting TB Preliminary Project Approval, the Department must obtain approval for the preferred option from Cabinet. This is done via a Memorandum to Cabinet (MC) prepared by ADM(Pol)/D Cab Ln staff with technical assistance from the project management staff.

Written from the Minister's perspective

7.7.2 The Memorandum to Cabinet consists of two sections:

- the Ministerial Recommendations, which includes the preferred course of action from the Minister's perspective
- the Analysis, which presents a thorough, balanced and objective analysis of the issue, the factors considered in arriving at the possible options described, the options, and the cost of implementing each

---

Departmental Working Paper

7.7.3 An important internal document necessary to permit preparation of the MC is the Departmental Working Paper, which forms the basis of the Analysis section of the MC.

The format of the Working Paper mirrors that of the Analysis section.

Assistance from D Cab Ln

7.7.4 Guidelines for the preparation and staffing of the MC are available from D Cab Ln.

Communications Synopsis

7.7.5 The OPI for the communications synopsis/plan is DGPA.

MCP Approval Process

Stand-alone submissions to PMB and TB

7.7.6 MCPs are strategic projects directed by the DPG. Related SS(PPA)s and (EPA)s are thus normally stand-alone submissions to PMB and TB, separate from the LTCP.

SS(ID)s approved by the sponsoring ECS/Group Principal

7.7.7 SS(ID)s for MCPs are normally approved by the sponsoring ECS/Group Principal. A copy of the document is to be passed to DFPPC for distribution to PMB members for information. PMB may ask for a briefing on the options being explored to address the deficiency.

Typical Approval Sequence

7.7.8 The following is a typical MCP approval sequence for PPA and EPA:

- Senior Review Board: approves Charter and PPRA. Endorses SS(PPA) or SS(EPA) including Project Brief
- Program Management Board: grants departmental approval-in-principle for the project at Definition and departmental approval for Implementation
- Senior Project Advisory Committee: endorses procurement strategy
- Interdepartmental Committee: endorses Memo to Cabinet. SPAC can be used to seek this endorsement as well
- Cabinet: reviews Memo to Cabinet and endorses project
- Treasury Board: reviews SS(PPA) or SS(EPA) and Project Brief and grants expenditure authority

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Cabinet consideration prior to departmental approval

7.7.9 Depending on the scope and/or negotiations associated with an MCP, Cabinet consideration of the proposal in the form of an MC may take place prior to departmental consideration of the SS by PMB. This does not eliminate the requirement to obtain departmental approval via the normal process.

Project brief and the TBS?

7.7.10 The project brief provides a summary of the full scope of the project permitting the PPA and EPA documents to be written as succinctly as possible. It is a mandatory document which must accompany the MCP's PPA/EPA submission to TB.

Detailed Guidance

7.7.11 Detailed guidance on the preparation of the Project Brief can be found in Treasury Board Manual (TBM), Information and Administrative Management Component, *Capital Plans, Projects and Procurement*, Chapter 2-1, Appendix F.

Progress Reports

Overview

7.7.12 For Major Crown Projects, the submission of progress reports to Treasury Board at key events or as directed by Treasury Board is mandatory. This section explains how the TB policy is to be applied.

Reference

7.7.13 Treasury Board Manual (TBM), Information and Administrative Management Component, *Capital Plans, Projects and Procurement*, Chapters 2-2 and 2-3.

Policy and Procedure

7.7.14 Project Progress Reports are to be submitted in accordance with Appendix D to Chap 2-2 of the TBM. However, the following modified process has been in place since 1995:

- progress reports will continue to be submitted by the Department on the achievement of major project milestones; however, the Department can either continue to submit them in the form of a TB Submission or as a departmental document signed off by the Project Leader; these reports will be collated in the Treasury Board Secretariat (TB Sec) and reported to TB periodically in the form of an aide-mémoire prepared by the Secretariat
- should a project be encountering serious difficulties (e.g. because of potential cost overruns or because of slippage) a submission would be prepared as a matter of priority by DND in consultation with the TB Sec

Routine Progress Reports

7.7.15 Routine project progress reports, prepared by the Project Manager, will be submitted to Treasury Board as a letter signed by the Project Leader and not as a TB Submission.

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Chapter 7, Part 8 - Construction Projects

Categories of Capital Construction

7.8.1 The Capital Construction program includes projects in the following three categories:

- New Construction
- Recapitalization
- Capital Lease

For more information refer to paragraph 6.2.1 in Chapter 6.

Program Decision Documents

7.8.2 The Synopsis Sheet for departmental approvals generally follows that for equipment projects, however, some sections are omitted or very brief. As well, additional information, required to portray the construction management procedures are included. Detailed guidance on preparation of synopsis sheets will be issued annually by ADM(IE) at the same time as the call for Level One business plans.

Submission timing

7.8.3 Due to their seasonal sensitivity, construction and recapitalization projects should be submitted for expenditure authority as part of the LTCP(C) one year in advance of their implementation year. This will provide lead time for tendering and contracting.

Normally no PPRA required

7.8.4 PPRAs are mandatory for projects being submitted to TB for approval. As the MND can approve Construction projects up to $60M, most construction projects will not require a PPRA.

A risk analysis of the construction program is required in Part 1 of the LTCP(C). If risk is significant the project Synopsis Sheet and the approval tables in the LTCP(C) must address it.

Approval of the SS (ID)

7.8.5 For capital construction projects, the SS(ID) must be approved by the sponsoring Level One Manager.

Use of SS (ID)

7.8.6 The SS(ID) will be used to register the project in the departmental DSP database, the FMAS PS. The project and its cashflow will be entered in the next LTCP(C).

Documentation Sign-off

7.8.7 For capital construction projects, the submissions SS(PPA/EPA) are approved at the SRB and signed off by the appropriate Level One Manager. PMB endorsement for all new projects listed in the Level One Business Plan's five year schedule is obtained through presentation of the LTCP(C) by ADM(IE) to the PMB.

Waiver of SS (PPA)

7.8.8 Construction projects which are to be delivered by the "Design Build" method may proceed directly to EPA without having acquired PPA, provided that a high level of confidence exists that the estimate is a substantive estimate.

The Project Leader, in conjunction with the Senior Review Board, can authorize the waiver of a project definition phase. This decision must be noted in the Synopsis Sheet.

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Chapter 7, Annex A - Sample Proposal Blocks

PRELIMINARY PROJECT APPROVAL(PPA)

EXAMPLE I

Note: all costs are "full-up"

1. That the Treasury Board: [or MND]

    a. provide Preliminary Project Approval for the construction of an acoustic analysis facility in Halifax, NS at a total indicative cost estimate of $12,345,000 (BY) net-of-GST; and

    b. provide expenditure authority for the definition phase at a total substantive cost estimate of $1,255,000 (BY) net-of-GST.

EXAMPLE II

2. That the Treasury Board: [or MND]

    a. provide Preliminary Project Approval for the Advanced Active Sensor Project in cooperation with the Netherlands at a total indicative cost estimate of $520M (BY) net-of-GST;

    b. provide expenditure authority for the first phase of the project, the Engineering and Manufacturing Development phase, at a total substantive cost estimate of $12,678,000 (BY) net-of-GST; and

    c. grant approval to enter into a Memorandum of Understanding for the cooperative development of an advanced active sensor, attached as Annex A.

EFFECTIVE PROJECT APPROVAL (EPA) WHICH HAS HAD A DEFINITION PHASE

1. That the Treasury Board [or MND] provide Effective Project Approval for the High Arctic Data Communication System Mark II (HADCS II) project at a substantive cost estimate of $37,362,000 (BY) net-of-GST, which includes Definition funding expenditures of $6,170,000.

EFFECTIVE PROJECT APPROVAL (EPA) WHICH HAS NOT HAD A DEFINITION PHASE

EXAMPLE I

1. That the Treasury Board [or MND] provide Effective Project Approval for the removing of the Naval Radio Stations at a substantive cost estimate of $12,345,000 (BY) net-of-GST.

EXAMPLE II

1. That the Treasury Board [or MND] provide Effective Project Approval of a capital project to acquire 123 Advanced Digital Radios including associated ancillaries and spare parts at a total substantive cost estimate of $12,234,000 (BY) net-of-GST.

GATED APPROVAL/EVOLUTIONARY DEVELOPMENT:

(applicable when IM/IT project has PPA, is ready to proceed to the next cycle, but does not have a total substantive cost for EPA)

1. That the Treasury Board [or MND] provide:

   a. expenditure authority for the implementation of Phase 1 of the Joint Command, Control and Intelligence System project at a substantive cost estimate of $6,743,000 (BY) net-of-GST; and

   b. expenditure authority for the definition of Phase II of the Joint Command, Control and Intelligence System project at a substantive cost estimate of $6,743,000 (BY) net-of-GST. The total indicative cost estimate of Phase II is 21,858,000 (BY) net-of-GST.

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Chapter 8 - Personnel, Operations and Maintenance Projects

Overview **8.0.1** The purpose of this chapter is to present the rationale and procedures for effecting DSP changes driven by Personnel, Operations and Maintenance requirements. A project in the P, O&M category may be introduced for the purpose of saving or increasing Vote 1 resources or for otherwise adjusting the overall defence resource allocations to achieve defence objectives.

In many cases, Vote 1 adjustments are driven by changes in either the capital base or force structure. In such cases, the Level One Manager must ensure these adjustments will be fully captured under the capital or force structure initiative.

In this Chapter **8.0.2** This chapter is divided into the following parts:

Part	Title	Page
1	Personnel	8-2
2	Operations and Maintenance (O&M)	8-4
3	Research and Development (R&D)	8-9
4	Alternative Service Delivery (ASD)	8-14
Annexes	Annex A	8A

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Chapter 8, Part 1 - Personnel Projects

Personnel Projects

8.1.1 There are occasionally projects of a pure personnel nature. These types of projects require significant cross-Group input and involvement but, even though all Groups will be affected directly or indirectly by the outcome, only ADM(HR-Mil) and/or ADM(HR-Civ) claims ownership. When such occasions arise, the process described at Chapter 7 is to be followed including the establishment of a Project Charter and SRB.

Such projects are normally charged entirely to Vote 1 funding. DFPPC 5 is the DGSP point of contact for personnel projects.

Other Situations

8.1.2 There is often a case where two or more DSP adjustments are impacting in the same area of work or service delivery. In such cases, where significant coordination efforts must be expended to ensure that the personnel requirements are properly addressed, there may be a requirement to create a personnel integration project in order to optimize the personnel solution.

MCP and Force Structure change initiatives such as Base closures and/or ASD initiatives, may be of such a magnitude with respect to personnel impacts that the ability of the CF or the Department to deliver its/their mandate may be jeopardized and/or fundamentally altered. In such cases, distinct Personnel projects may be required.

Some personnel issues must be addressed on a pan-DND/CF basis (e.g. NUCLASS, Op Enterprise, TASK). In such cases Personnel projects should be created in order to account for the expenditure of resources at all phases of the project.

Personnel implications of Capital Projects

8.1.3 As noted in Chapter 7, Capital projects often have a personnel component associated with them (applicable to both military and civilian personnel). Chapter 7 is clear about the requirement for all such projects to analyze the personnel impacts and manage accordingly.

Only in situations:

- with such significant cross-Group impact that requires levels of funding adjustments and/or coordination that the normal DPG process for capital projects is not deemed adequate, or
- that require a complete revamping of the skills, personnel attributes and establishments necessary to operate and maintain the equipment being fielded would the issue(s) be addressed through a separate but linked Personnel project.

Departmental Decision Documents

8.1.4 Most personnel adjustments will be accommodated within Business Plans and will impact directly on the Level One Manager's resource allocations. When adjustments have cross-Group impacts or if a PMB decision is required, consideration should be given to formalize the effort and a standard departmental decision document is to be used.

For the purpose of obtaining a resource decision, submissions will be made to PMB either in the form of a Memorandum to PMB or a Synopsis Sheet.

The Memorandum to PMB may be used when the proposal is broadly understood, there are no outstanding issues and very little discussion is expected.

A Synopsis Sheet is recommended for proposals involving several Groups, when significant inter-Group negotiations have taken place or if there is a potential for external interest requiring consideration for a communications strategy/plan.

Approval of Personnel Projects

8.1.5 By virtue of the pan-DND/CF nature, Personnel projects will normally be considered at the PMB.

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Chapter 8, Part 2 - Operations and Maintenance Projects

Why O&M Projects

8.2.1 O&M projects are raised when the proposed change to O&M activity has a corporate impact. Otherwise, O&M activity adjustments are managed within business plans.

The National Procurement (NP) Program, a sub-element of DND's O&M account, is the portion of the DSP that is allocated for the acquisition of materiel and services required (excluding realty assets) to support centrally managed equipment, services and systems in the DND inventory. O&M projects shall not create a new or improved capability.

NP can be broken down into two categories:

- Baseline Activities - include funding for recurring, previously approved expenditures in support of DND inventory
- O&M Projects - include equipment modifications, remediation for unsupportable equipment/software, test and evaluation programs, tools and test equipment, etc.

O&M Projects are raised and included in Level One Business Plans when changes in Baseline Activities are required to continue to maintain existing equipment. Furthermore, O&M Projects can also be raised when substantiation for savings through a business case can be implemented or when dictated by safety and/or operational considerations.

Realty O&M Projects encompass all Construction Engineering O&M activities such as Environmental Clean-up, decommissioning, Payment in Lieu of Taxes (PILT) and restricted projects. Expenditure Authority over $1M for these projects is restricted to ADM(IE) on behalf of the DM.

Categories of O&M Projects

8.2.2 O&M Projects can be derived from five distinct areas:

- Business Case Considerations
- Supportability Considerations
- Safety Considerations
- Operational Considerations
- Realty projects

Business Case Considerations

8.2.3 Business Case Considerations - bolsters a new requirement substantiation and provides a compelling reason for a new funding approval. The Business Case is predicated on an analysis of the costs and benefits of a proposal, usually to determine the payback period of an investment. For example, complete refit of a bulldozer, including the latest upgrades available, versus the continued maintenance of the bulldozer (i.e. status quo), versus procurement of a new replacement under a Capital Project might be analyzed.

The Business Case will identify when and how expenditures will be recouped by employing Discounted Payback Analysis (DPA). The DPA will quantitatively assess the relative benefits (i.e. savings) versus costs of a proposal in the following categories:

- Personnel Costs/Savings
- Equipment Costs/Savings
- Facilities Costs/Savings
- Other Costs versus Savings

Supportability Considerations

8.2.4 Supportability Considerations - owing to equipment obsolescence and/or loss of contractor support, materiel must be modified or replaced. For example, the Original Equipment Manufacturer (OEM) has decided to shut down the Repair and Overhaul (R&O) line, necessitating equipment replacement in order to avoid the loss of the capability.

Safety Considerations

8.2.5 Safety Considerations - require complete justification, analysis and consultation with appropriate Groups prior to submission. The analysis must:

- Clearly assess the risks related to the probability and severity of failure
- Consider all options to overcome the issue
- Not be used to justify a new capability

Operational Considerations

8.2.6 Operational Considerations - are not related to new/improved capabilities but to modifications required directly related to:

- new foreign or Canadian Government legislation that would jeopardize CF access to operational theatres
- CF equipment (such as the manufacture of a support to prevent accidental discharge of the AVGP's Halon System)

Realty Projects

8.2.7 ADM(IE) has unrestricted approval authority for Realty O&M projects.

Notes:

- this refers to expenditure authority, not to real property transaction authority. Authority governing real property transactions can be found in the acquisition and disposal sections of the Realty Asset Implementation DAOD 4001-0
- authority limits apply to each individual year of multi-year projects and to each year of a lease with a term of more than one year
- authority limits apply to the Canadian public funding portion of NPF and FMT related projects
- expenditure authority below $1M is delegated to Level One Managers who are accountable for Realty Assets. Further delegation of this authority is at the discretion of the Level One Manager

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Other types of Realty Projects

8.2.8 Expenditure authority for the following types of projects is restricted to ADM(IE) on behalf of the DM:

- acquisitions and disposals, with the exception of leases or lease renewals
- the construction of new married quarters and garages, or any alteration to existing married quarters and garages that would increase the habitable area
- work services for other government departments and civilian organizations
- construction, regardless of value, or recapitalization in excess of $5,000 to VIP single quarters or official residences
- capital leases are subject to the same approvals required for acquisition by purchase

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Leases and Lease Renewals

8.2.9 Expenditure authority approval for leases and lease renewals in support of cadet organizations is restricted to Cadet Regional Commanders.

Realty Projects Point of Contact

8.2.10 The point of contact for Realty O&M Projects is the Director General Realty Policy and Plans.

Group Direction

8.2.11 O&M Projects shall conform to Level One direction in that:

- support from the applicable Group(s) must be secured prior to project submission for approval
- Mission Alignment - all O&M Projects will be aligned with the DPG task

framework. The projects will be clearly articulated and fall within the resource envelope assigned

- Resource Flexibility - Group Principals have assigned well defined levels of authority which permit the reallocation of resources to meet/support operational tasks. Directors/Managers have the flexibility to reallocate funding and manage risk. This flexibility will also clarify where capability may be affected by resource constraints
- Accountability - O&M Project documentation must include performance criteria that will define and measure how expected results pertaining to quantity and quality can be achieved
- Results Oriented - O&M Projects shall focus on managing resources and the delivery of products to meet the strategic objectives of the Groups
- International Trade - O&M Projects should reflect Government Procurement strategy with regards to international trade implications

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Departmental Decision Documents

8.2.12 O&M Projects will normally be addressed within Level One Business Plans and will directly impact all resource allocations.

Modification programs costing more than $1M may require Synopsis Sheet (EPA) action prior to inclusion in the Estimates. When required, sponsors of modifications must ensure that the Synopsis Sheet (EPA) is raised and approved in sufficient time for the cash flow to occur as indicated in the Estimates submission.

As stated in Personnel Projects, Part 1 of this chapter, a Synopsis Sheet is recommended for proposals involving several Groups, when significant inter-Group negotiations have taken place or if there is a potential for external interest requiring consideration for a communication strategy/plan.

General Process

8.2.13 Chapter 7 outlines the general process for project approvals. O&M Project methodology ties directly to this approach. O&M Projects derived from Business Case, Supportability, Safety or Operational Considerations must have sponsor approval and be reflected in Equipment Support Plans and/or Service Levels Agreements, and ILS Program Requirements. (See DND ILS Policy Direction 3/87)

A call for New Business Plan Requirements is issued 12 to 18 months prior to the year in which the funding is to be spent. During normal project phases, a strategic analysis with the ECS/Group Principal is developed, ILS issues are investigated, life expectancy aspects are considered, personnel impact analysis is conducted, security and funding requirements are addressed. The culmination of the O&M Project Identification, Development, Definition, and Implementation Phases is reflected in the applicable documentation that is forwarded for consideration and inclusion in the Business Plan.

Through vigilant application of the above steps, O&M Projects will be fully identified enabling them to be prioritized in a manner that will support operational goals. Furthermore, if a trade-off of funding is required, as identified in Chapter 7, Block 7.5.4, then, O&M Project submissions will lay the foundation to ensure that all requirements are identified and can be weighed against other funding requirements.

Project Approval

8.2.14 The following points apply to the approval of O&M Projects:

- O&M Projects are normally approved within the context of Level One Business Plans and may be identified in the Departmental Business Plan
- expenditure authority is granted within the Department and a TB Submission is seldom required
- O&M Projects with significant corporate impact will be reviewed at PMB. Since there is no dollar definition to the term significant in this case, staff officers should consult their DFPPC analyst for advice

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Points of Contact

8.2.15 The points of contact are ADM(Mat) Divisions. See Chapter 9, Part 7.

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Chapter 8, Part 3 - Research and Development Projects

Why R&D Projects?

8.3.1 Research and Development (R&D) projects are initiated to meet the Science and Technology (S&T) requirements of DND/CF. Defence R&D Canada (DRDC) ensures that DND keeps abreast of current technology to avoid technological surprises and to aid the development of the technical competence required by the CF to accomplish their mission.

For more information on DRDC refer to the following website: http://admst-002.ottawa-hull.mil.ca/menu_e.html

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Delivery of the R&D Program

8.3.2 The R&D Program includes:

- Applied Research Program - The Applied Research Program consists of R&D projects associated with the core, long-term applied research and short-term experimental development.
- Technology Investment Fund (TIF) - TIF supports forward-looking, high-risk, but potentially high-payoff, research projects.
- Defence Industrial Research (DIR) Program - The DIR Program supports research projects from the Canadian industry. Costs for these projects are shared between DRDC and industry on a 50/50 basis.
- Technology Demonstration Program (TDP) - The TDP demonstrates and validates technology solutions for new and emerging CF operational systems and concepts without having to fully develop new products.

Departmental Decision Documents

8.3.3 R&D projects are funded from Vote 1 allocations to the ADM(S&T) operating budget. Planning for R&D projects is addressed within the ADM(S&T) Level One Business Plan.

ADM(S&T) has both departmental and expenditure authority for these Vote 1 funded projects. A Synopsis Sheet endorsed by a Departmental Senior Review Board and signed off by ADM(S&T) is required for approval of TDP projects. R&D projects are approved in accordance with the process described below.

Project Approval

8.3.4 All R&D Projects form part of the R&D Client Group's Service Level Agreements (SLA). Individual R&D projects are selected and approved as follows:

- Applied Research Program - Applied Research projects are formulated by the Scientific Advisors in consultations with Client Group (CG) representatives and approved through their respective CG SLA vetting process.
- Technology Investment Fund - The Technology Assessment Working Group recommends funding for TIF projects based on peer reviews. The R&D Executive Committee approves the final funding for TIF projects.
- Defence Industrial Research Program - The DIR projects are recommended by the Defence Industrial Research Advisory Committee and approved by the Director General R&D Programs (DGRDP).
- Technology Demonstration Program - The approval process for TDP projects is described at the following website: http://www.drdc-rddc.gc.ca/business/tdp/tdp_e.asp. All TDP projects must be resident in the Capability Initiatives Database prior to sign-off of Synopsis Sheet by ADM(S&T). For more information, see Chapter 9 Part 1b - Capability Initiatives Database.

Overall Direction

8.3.5 DRDC receives overall direction from the DRDC Advisory Board, R&D Program Board and R&D Overview Groups on the formulation of the R&D Program. The responsibilities of these boards and groups are provided below.

DRDC Advisory Board

8.3.6 The DRDC Advisory Board provides strategic advice to the DM, CDS and DRDC on defence science in Canada, particularly in the context of the programs of DRDC. The advice also considers external strategic issues such as the role of industry and other government departments and agencies in strengthening the Canadian defence technology base. International questions such as exchange and collaboration are also reviewed.

The DM and CDS co-chair the Board. The members include senior representatives of the Department and the CF, the private sector, other S&T organizations and academia.

R&D Program Board

8.3.7 The R&D Program Board provides advice and guidance to DRDC on the requirements and priorities of the R&D Programs that DRDC delivers to CF/DND Clients. It provides feedback on the DRDC's performance in program delivery. ADM (S&T) chairs the RDPB and appoints the members who will include senior representatives of the DRDC's CF/DND clients (typically at the Director General level) and senior officials of DRDC.

R&D Overview Groups

8.3.8 The individual CG R&D Programs and their constituent R&D Thrusts are formulated in close consultation with the R&D Overview Groups representing the five CGs. This process leads annually to SLAs between DRDC and each CG. Each Overview Group is co-chaired by a senior representative of the CG, typically at the one-star level, and a senior official of DRDC.

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Chapter 8, Part 4 - Aternative Service Delivery Projects

Introduction

8.4.1 The departmental ASD policy was approved in July 1995. The policy committed DND to pursue the best value for the Defence dollar in the conduct of non-core activities. Therefore, the ASD initiative involves the review of all non-core activities and the potential transfer of those activities to the most cost-effective delivery option.

ASD options fall into five broad categories:

- competitive or non-competitive contracting out
- competitive or non-competitive privatization
- devolution to another level of government
- competitive or non-competitive partnership with the private sector or other public organizations
- new institutional federal organizations (Special Operating Agencies, Crown Corporations or Service Agencies)

ASD Methodology

8.4.2 The ASD Methodology is a management tool providing a common, results-oriented decision-making process for applying the departmental ASD policy. It is designed for managers who are responsible for leading ASD reviews.

The methodology sets out a six-stage decision-making process for the conduct of an ASD review. This review process revolves around four critical questions:

- should the delivery service be reviewed?
- if yes, is the recommended ASD option acceptable?
- if yes, has an adequate service provider been found?
- are results obtained by implementation acceptable?

These questions are embedded and highlighted in the six stages of the ASD framework:

- screening
- analysis
- way ahead decision
- development
- implementation
- verification

Executive Authority

8.4.3 The Executive Authority is accountable for results and decision making throughout the ASD review. Executive Authority normally rests with the sponsoring Level One Manager; however, in some cases the DM/CDS may hold Executive Authority unto themselves.

The Executive Authority provides for a two-level management structure to oversee the review:

- a Steering Committee
- an ASD Review Team

Most Efficient Organization

8.4.4 A "Most Efficient Organization" (MEO) is that state of an organization at which it can deliver its mandate and fulfill all the requirements in the most effective and efficient way within the flexibilities and constraints of the current in-house management regime (that of DND/CF).

ASD Stages (without MEO)

8.4.5 The six stages of the ASD Methodology *without* the Most Efficient Organization (MEO) step are:

I. **Screening**: confirm that an identified service should be considered for an ASD review

II. **Analysis**: prepare a recommendation for the most appropriate delivery option

III. **Way Ahead Decision**: obtain approval for the recommended delivery option

IV. **Development**: develop the ASD option for implementation and select an adequate provider

V. **Implementation**: replace the current delivery mechanism with the ASD

VI. **Verification**: evaluate the achieved results against the expected performance

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ASD Stages (with MEO)

8.4.6 The six ASD stages assuming the MEO proposal is implemented are:

I. **Screening**: confirm that an identified service should be considered for an ASD review

II. **Analysis**: recommendation to proceed with the MEO step or to go directly to the competitive step (based on a Business Case Analysis identifying saving targets)

III. **Way Ahead Decision**: obtain approval for the MEO proposal

IV. **Development**: develop the MEO proposal, including implementation and verification strategies and make decision to proceed with implementation

V. **Implementation**: implement the MEO proposal

VI. **Verification**: evaluate the achieved results against the expected performance

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VCDS Endorsement/ Approval

8.4.7 The Executive Authority obtains program approval of proposed actions from the VCDS/PMB before a final decision is taken.

Project Synopsis Sheets should be submitted to DGSP/DFPPC for review and analysis prior to any submission to the VCDS or the Treasury Board. DGMRS will provide the ASD program perspective and the appropriate linkage to other ASD reviews. The VCDS, through DGSP, will seek further participation as required from potentially affected Level One Managers and refer issues to the DM/CDS if necessary before responding to the Executive Authority.

ASD Checklist

8.4.8 A checklist organized according to the six stages of an ASD review has been developed to give management additional oversight when applying the ASD methodology. This is further described in Annex A.

References

8.4.9 The following material should be consulted for additional information on the ASD process:

- CMRS Guide to ASD Methodology, November 1996. Department of National Defence A-PP-007-ASD/AG-001
- Alternative Service Delivery Costing Guidelines. Department of National Defence, Directorate of Costing Services, 27 January 1997
- DGMRS Interim Directive on Change to the ASD Management Framework. Vice Chief of Defence Staff, 21 May 1998
- Morton, Colonel W.E., Embedding Military Personnel in Outsourcing Contracts, commissioned and distributed by DGMRS, 10 July 1998

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Chapter 8, Annex A - ASD Checklist

Stages of an ASD Review

The following six stages of an ASD Review are described below:

Stage	Title	Page
1	Screening	8A-2
2	Analysis	8A-3
3	Way Ahead Decision	8A-11
4	Development	8A-12
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Stage 1 - Screening

Steps in the Screening Stage

The initial stage in an ASD Review is the screening process. The following steps are taken in this stage:

- The activity identified lends itself to an ASD review (re: Guide to ASD Methodology, Annex A, Part 1 **Definition Checklist**)
- The services identified for an ASD review are needed by DND for the foreseeable future (re: Guide to ASD Methodology, Annex A, Part 2 **Validation Checklist**)
- The services identified are considered non-core (re: Guide to ASD Methodology, Annex A, Part 3 **Core/Non-Core Status Checklist**)
- The Core/Non-core status was registered to the VCDS (re: ASD Policy, July 95, paragraph 19)
- The activity to be reviewed met at least one of the six criteria for incorporation on the departmental **ASD Plan** and the ASD review was therefore incorporated (re: criteria are in the Guide to ASD Methodology, page 2-5, table 3)

- The ASD review was incorporated in the sponsoring Command/Group and/or the Departmental **Business Plan** with the information requested (re: DPG, art. on ASD and DGSP Template for Level 1 Business Plan)

Stage 2 - Analysis

ASD Review Directive

The first step in the Analysis stage is that an ASD Review Directive is prepared and approved. It provides:

- the relevant direction, assumptions, and limitations from the Executive Authority which may help in, or impact on, the scoping, processes, time line, outcome and expected results of the review and the implementation of an ASD option

- the establishment of the management structure (mandate of each component, membership, roles and responsibilities, sufficient authority for decision and action, measures for free conflict of interest and non-existence of unacceptable biases)

- directed activities, milestones and checkpoints, a realistic timetable and deadline, appropriate OPIs, sufficient resources ($, people, space, equipment)

- measures to allow for consultation and communication during the analysis with management, employees, unions and all stakeholders (Guide to ASD Methodology, page 3-16)

Additional considerations

The analysis demonstrates clearly that the recommended ASD option has the best potential for increased cost effectiveness, and for meeting expected results and other benefits for the department and government as opposed to the current "in-house" delivery mechanism and, if applicable, other considered ASD options. This demonstration will normally be more convincing if the following points below have been spelled out and logically investigated through a business case analysis or equivalent (Guide to ASD Methodology, page 3-17):

- Objectives, success factors, benefits sought and expected results (especially in terms of net savings to government) in implementing an ASD option have been clearly identified: they are sound, achievable and affordable; they are tied to the strategic targets identified in the Command/Group business plan (Guide to ASD Methodology, page 3-9)

- Assessment criteria to evaluate retained options have been established: they are fair, consistent between options, practical, and sound and are clearly linked to the objectives, success factors, benefits, and expected results (Guide to

ASD Methodology, page 3-10)

- Clients and Customers have been clearly identified. The Accountable Office (s) or Officer(s) for the delivery of the services are also clearly identified, if different than the client(s)
- Requirements (including expectations, quantities, performance standards and levels of quality of, and outputs and deliverables to, the clients/customers have been sufficiently formulated to support an adequate comparative analysis of ASD options)
- The Scope of the services to be delivered alternatively, including the length of the period of delivery, has been clearly delineated (understandingly through numerous iterations during the analysis). It has been defined in a way to take into consideration the requirements from the clients/customers, the objectives and expectations of the Executive Authority, the capabilities of the potential provider(s), and any non-discretionary limitations or constraints to the practical reality of the situation
- Baseline data in terms of resources ($, people, equipment, others)(full costs to government) to currently deliver the scope was available in sufficient detail and to the extent possible and practical for supporting adequate comparative analysis of ASD options. (Guide to ASD Methodology, page 3-18, and ASD Costing Guidelines).

Marketplace Assessment

An assessment of the marketplace is conducted (compulsory if one of the ASD options under analysis is for Contracting, Private-Public Partnership or Privatization). The Marketplace Assessment addresses the following issues:

- what is the current state of the market (competitive, saturated, monopolistic, potential for building and maintaining an efficient competitive market)
- where is found the available expertise within the market for the delivery of the targeted services
- is the expertise fragmented in various components of the industry
- what is the best fit between the industry make up and service delivery requirements
- viability of market over the long term (e.g. danger of a monopoly)
- will this transfer contribute to, deteriorate, or make no impact to, the existing market forces on a short and long term basis
- what are the national and regional economic and political impacts

- what is the bench marking from private sector delivery
- what would be the best length of the contract or agreement with the new provider
- is industry interested in taking up the delivery of the services as presently formulated or through other scoping or formulation
- has there been any interest from employees to take over the activity as entrepreneurs
- if a contracting option is retained, what would be the impact of an In-House bid being prepared
- would there be possibilities for partnership or complete/partial privatization

NOTE: many of the questions above can be answered through a formal Request for Interest (RfI), or formal consultation with industry or company representatives (Guide to ASD Methodology, page 3-19).

Additional questions in Marketplace Assessment

Based on the marketplace assessment, it is considered that the state, make-up, forces, expertise, capability, and viability of the market is appropriate, or can be influenced positively to become appropriate, if we wish to deliver the services through a Contracting, Private-Public Partnership or Privatization ASD option. If not:

- can the proposed scope be re-scoped to fit with an acceptable option from the private sector
- if the market is competitive, are there financial or other reasons (disturbance to clients, interim solution, socio-economical, regional benefits) that would indicate that a partnership or a sole-source contract would be a defendable approach
- are there any compelling reasons (Guide to ASD Methodology, page 3-7) to not support an "In-House" bid
- is Employee Takeover (ETO), an acceptable option and, if yes, should the ETO be sought or accepted through a competitive or non-competitive route

If the marketplace does not offer an adequate option, or it is not an option for practical and/or operational reasons then:

  - an assessment of ASD options within the public sphere is conducted to determine if the objectives, benefits and expected results could be met through an increased flexibility and authority which would remove institutional impediments regarding financial, HR and administrative management issues (offered by a devolution to another level of government/command, or to an OGD, or the establishment of a corporation or agency)

An optimum number of Feasible ASD Options have been retained for comparative analysis (Guide to ASD Methodology, pages 3-5, 3-11, and Annex B).

Financial Resources Management Issues

Financial resources management issues have been properly considered (Guide to ASD Methodology, page 3-18):

- detailed cost of conducting the ASD analysis and development has been incorporated
- value of the current delivery of services (by department's and government's budget holder)(revenues and expenses, investments)
- estimated value of the services if delivered through each of the valid ASD options (expenses, liabilities, revenues, pricing, fees, etc.)
- estimated expenses and revenues of transition to each valid ASD option being considered; incl. source of funds and cashflow requirements and financing issues
- estimated expected net savings for each valid ASD option, incl. who will get the benefits and who may have to pay/invest; and expected time line for accruing savings
- Cost/Benefit analysis for each valid ASD option, incl. financial impact analysis, economic analysis on a regional basis, establishment of a budgetary ceiling
- impact on current financial resource management policies, regulations, directives or practices (particularly those related to user pay, retention of local revenues, revenue generation, surplus and spare capacity, provision of services to other agencies and markets) at governmental, departmental, ASD program or local levels

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Human Resources/ Personnel Management Issues

Human Resources and overall Personnel management issues have been properly considered:

- impact on military and civilian personnel directly employed by the current "in-house" provider for each of the ASD options considered and those indirectly affected by being linked to the services under review or by being organically part of the same community (victims, survivors, bystanders)

- impacts over union membership and other labour relations issues (departmental and national)
- impact over human resources management issues at the government level
- impact over military occupational structure and numbers, as well as consequences to the operational capability/deployability, recruiting and release management, career management, training and education management
- impact over personnel support services management issues (medical, dental, welfare amenities, compensation and benefits, Crown housing)
- impact over organizational issues (creating, deleting, moving units consequently to the alternative delivery)
- requirements for standard or special measures to mitigate the above impact at the individual, local or program levels (incentives for departure or early retirement, requirements for re-training and/or re-deployment, move and postings, other Workforce Adjustment measures, directed or incentives to the new provider for offering and setting up mitigation such as employment continuity, costs associated to all those measures)
- impact on current personnel management policies, regulations, directives or practices at governmental, departmental, ASD program or local levels

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Other Issues

Materiel and capital equipment management, procurement management, realty assets, environmental and information technology issues are to be properly considered.

In specific cases, but definitely in the case of $100M+ projects, a Senior Project Advisory Committee is to be formed to address issues that may potentially impact over other government department's objectives, strategies and plans. For $2M+ projects, a Procurement Review Committee is to be formed to address procurement issues that may potentially impact over regional economic benefits, international trade agreements, and other national objectives.

Policy and Planning Issues

Defense policy and Defense Services Program management issues are to be properly considered:

- Defense White Paper and other cabinet direction
- Defense Planning Guidance and Departmental Business Plan and Report on Plan and Priorities and other program level direction
- centralized financial resources management issues

Public Environment and Communications Issues

Public environment and communications issues are to be properly considered:

- impacts over constituency
- impacts over socio-economic regional benefits
- impacts over national unity issues
- impacts over foreign countries relations issues

Project Management Issues

Project Management issues, particularly development of the selected ASD option, its implementation and verification, are to be properly considered:

- an outline was provided of what will be the management structure of the review for the development, with particular attention if there is an "in-house" bid or an ETO proposal recommended to be prepared or if TB or Cabinet approval is required to set up a new structure for delivery (corporation, agency, public-public partnership)
- an outline was provided of the approach to be taken to implement the new service delivery, and particularly the transition between the current "in-house" provider and the new " in-house" or external provider with a focus on the measures to be taken for people and for communication during that period. It included a timetable, and OPIs where needed
- an outline was provided of the approach to be taken to monitor compliance and performance by the new provider ant to verify that the new alternative service delivery is achieving the stated objectives

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Risk Issues

Adequate identification, assessment and mitigation of risks are to be considered (financial, performance, political, transition and implementation, labour relations, human resources, operational, etc.):

- ways of transferring a reasonable amount of risk to the new provider have been considered
- TB Secretariat has been approached to let them know of the assessment of the risks (high, medium, low) and they advised whether Ministers would like to be consulted or informed on the way ahead and at any other point early or later on

Stage 3 - Way Ahead Decision

Way Ahead Decision

The recommended option demonstrates convincingly that it can provide best value for money in terms of the objectives established at the outset, (i.e. is everything in place to go to development; is there convincing demonstration of positive benefits; did we do everything we were to do or did we miss something).

The following issues are covered:

- the management of the review so far covered all reasonable aspects in a satisfactory way and has not left out any key areas
- the proposed management framework for the development stage of the ASD review is adequate, resourced and effective
- any specific direction deviating from the recommendation or clarifying what is expected has been clearly stated

Stage 4 - Development

Project Management Issues

Project Management issues are to be properly considered:

- in the case of a contracting, private-public partnership or privatization ASD option, a conflict of interest-free management structure was set up to develop the strategies for implementation (transition, human resources, communication) and for verification, the Statement of Work, the Request for Proposal, and the evaluation framework, and to evaluate the proposals by potential providers, make a recommendation and make a decision
- in the case of the creation of an "in-House Team" to develop an "in-house bid" or an Employee Takeover Corporation to develop an ETO proposal, an adequate firewall was built with the ASD Review Team
- a Senior Project Advisory Team and a Procurement Review Committee were formed to address issues related to regional economic benefits and other national objectives where necessary
- processes for review and approval were laid out if TB or Cabinet approval is required for the set up of a new public organization (corporation, agency, public-public partnership)

Other Issues

Other Issues The implementation strategy (approach to the transition from the current provider to the new one; approach to address Human Resources issues and people directly and indirectly affected during the transition, including impact(s) on military occupation (s), approach to address communication needs with management, employees, defense team, clients, OGDs, politicians, Canadian public) during transition and beyond satisfactorily addresses the impacts identified at the analysis stage and reflects the direction given at the Way Ahead decision.

The verification strategy is satisfactory (approach to address needs to monitor compliance and performance and review progress and results).

The Statement of Work appropriately set the scope, length, quantity and quality of work, along with other conditions, to be delivered, including the work during the transition and verification stages.

The Request for Proposal ensures that the procurement strategy and conditions are clear and, in particular, that the technical and financial selection criteria and processes are appropriate for the provider sought and the type of services to be delivered and that they are well laid out for the proponents/bidders.

There is a clear and well laid out contingency plan and mechanism to respond to any challenges to the procurement activities or outcome.

There are clear and well laid out plans in the case of no technically or financially compliant proposals/bids.

In case where negotiations is permitted with compliant proponent(s)/bidder(s), mechanisms are in place to conduct such negotiations as per government rules and directives.

Stage 5 - Implementation

Announcement

A Briefing Note to the DM/CDS (perhaps the MND), along with a detailed communication plan for the announcement of the selected new provider, is to be prepared and processed accordingly.

The announcement of the selected new provider is made at the appropriate level and communication activities are undertaken as planned.

Implementation and Verification Plans

The full details of the remaining parts of the Implementation Plan are finalized with the new provider, the ASD Team, management, unions, and various functional experts, including appropriate ADM(Per) OPIs, and implemented (actions related to the winding down of the current "in-house" service provider, the set up and operation of the organization of the new "in-house" or external provider, to the transfer of responsibilities, equipment, and personnel, sale and/or purchase of assets, movement, re-training, posting or release of personnel, offer being made to current employees by new provider, clean-up of facilities, relations with clients, period of warm up and testing, remaining communication and consultation activities).

The full details of the Verification Plan are finalized with the new provider, the ASD Team, management, and various functional experts (actions related to setting up the contract/agreement administration team or officer, setting up monitoring processes and reports, setting up a plan for a formal review at a pre-set time).

Stage 6 - Verification

Verification

The new provider has complied satisfactorily with the terms and conditions of the contract/agreement.

The Implementation Plan (transition, human resources, communication) and the Verification Plan have been complied by all binding parties.

The implementation of the ASD option produced the expected results and benefits and has achieved the set objectives.

The implementation of the ASD option confirms that the strategy upon which the decision to go ahead was based was sound.

The implementation of the ASD option confirms that the July 95 ASD Policy was right and appropriate.

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Chapter 9 - Project Management Considerations

Overview

9.0.1 The ADM(Mat) sponsored Project Management Manual (A-LP-005-000/AG-001) is the principal reference for managing projects within DND/CF. Notwithstanding, the linkage of project management to DSP management raises critical issues which must be considered from the earliest stages in the life of any project.

The Synopsis Sheet is the primary program decision document. There are additional project documents and internal/external reviews required to assure Senior Management, Project Sponsors, and/or Treasury Board Secretariat that sound project management practices have been employed and that DSP issues have been properly identified and addressed.

In this Chapter

9.0.2 This Chapter is broken down into the following parts:

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Chapter 9, Part 1 - Financial Managerial Accounting System

FMAS

FMAS, which went on-line on April 1, 1998 replaces the Financial Information System (FIS) MK III and the Defence Services Program Information System (DSPIS), which was the official Record of Reference for the DSP. FMAS uses commercial-off-the-shelf (COTS) software, SAP R/3 that utilizes the functionality of seven modules. While each of the modules covers specific functionality, their combination forms FMAS. One goal of this new system is to provide a project management tool that will provide accountability for planned and actual costs of a project.

Specific Modules for Project Management

Within the FMAS, one of the functional modules is the Project Systems (PS) module. The PS module supports the planning, control and monitoring of capital projects. While this module will be used to plan and control major capital acquisitions, the module will be available to Level One planners who wish to use it to plan and control their own projects such as Miscellaneous Requirements. The FMAS PS module will assist Project Management staff in the following areas:

- Recording project information
- Planning project cost
- Managing project funds
- Posting project related expenditures
- Settling project costs
- Reporting functions

These above-mentioned capabilities will be accessible to users through a combination of the FMAS Project System (PS), Funds Management (FM), Financial Accounting (FI), and Controlling (CO) modules.

FMAS Authority

Directorate Managerial Accounting and Comptrollership (DMAC) is responsible for the FMAS, in particular for changing system and user status in the PS module and for exercising a QA/audit function for project data. Project Leaders are responsible and accountable for their project data contained in FMAS.

DSP Official Record

This project database, combined with the paper files maintained by DMAC represents the official record of reference, from a Program Management perspective. The ability to link documents electronically to projects in the FMAS PS module will be met by either configuration of the FMAS Document Management System (DMS) or a link from FMAS to the DND Intranet. This linkage will decrease the reliance on paper copies of project documentation. However, until further notice, DMAC is to be provided with the Official "signed" copy of all program decisions documents. For a detailed discussion on filing procedures refer to the last section in Part 1, page 9-8.

Detailed Guidance on FMAS PS

For detailed guidance on the operations of FMAS PS, refer to FMAS Training Documentation or the on-line extended help feature of FMAS. For more information contact the FMAS Help Desk: 992-1025.

In this Part

This Part covers the following topics:

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Registering a Project	9-4
Project Status Codes	9-5
Maintenance of the Database	9-7
Program and Project Files	9-8

Registering a Project

Who can register a project?

9.1.1 Taking into consideration the on-line interactive nature of FMAS and the need for planning and modelling, Project Registration has been delegated to the level of "PS User". In this way a rough cash line can been established for initiatives so that Group coordinators can undertake longer term capital planning (i.e. 15 years). In many cases, a Command or Group may specify internally that the coordinator will create the project; however, any FMAS user with a profile that permits him/her to *change* data (affect the database as opposed to only viewing it) will be able to create a project.

Need for an SS (ID)

9.1.2 Notwithstanding that a "cashline" may be resident in the FMAS PS and an initiative may in fact have a "project number", from a program perspective, a project is deemed to "exist" only when an SS(ID) is approved. In other words, for a project to be considered part of the official DSP database, an approved SS(ID) is required.

Original SS(ID) sent to DMAC

9.1.3 The original, approved SS(ID) is to be submitted to DMAC for retention. Upon receipt of the document, DMAC will assign the project "D" status in the FMAS (prior to this, all project WBS elements will have Status "X").

Project Status Codes

Capital Project Status Codes

9.1.4 Each project or phase thereof is assigned a "status code" which indicates the current level of approval/authority achieved by the project This code permits Departmental planning and control staff at all levels to examine various "slices" of the DSP. Within the FMAS, only DMAC 4 staff are authorized to change the status of a project based on formally approved project documentation. For approval authorities refer to Chapter 7.

A Status

9.1.5 Treasury Board authority for capital spending has been obtained by means of a Treasury Board Submission or submission to the MND, under TB-delegated authority. This status would apply to funding for definition or implementation and those elements of evolutionary development project phases authorized for expenditures. (It is only at this point in a WBS element's development that the WBS element will be "released" for financial transactions.)

B Status

9.1.6 Departmental approval to seek expenditure authority for the funding required for definition or implementation as documented in an SS(PPA) or SS(EPA) respectively has been granted. Projects in this status are normally en route to the MND or TB for expenditure authority.

C Status

9.1.7 Departmental approval-in-principle for the indicative project implementation costs, as documented in an SS(PPA), has been granted by the appropriate authority.

D Status

9.1.8 Departmental approval for planning on the basis of an SS(ID) has been granted by the appropriate authority. A capability deficiency has been identified and project has been initiated to address the situation. Options analysis activity is taking place. The entry of strategic or non-strategic D status projects into the FMAS requires ECS/Group Principal approval.

Other Status

9.1.9 An initiative which has just been entered in the system but which does not have an approved SS(ID) is automatically assigned X status. Similarly projects which are no longer affordable are assigned X status. X status is simply a FMAS requirement. It has no meaning in the context of the DSP.

W Status

9.1.10 A project or a portion of a project has been "withdrawn" (deleted) from the FMAS. W Status project data is not included in the Capital Program. However, the project is retained in the system until a Deletion run is executed to remove the project from FMAS. See Block 9.1.13 (Cancelling a Project).

I Status

9.1.11 I Status means a project is "implemented" (completed), ie. no current or future years forecast expenditures. This data is not included in the Capital Program. It is retained in the FMAS for historical and analytical purposes. See Block 9.1.14 (Completing a Project).

Maintenance of the Database

Maintenance of Departmental Database

9.1.12 It is essential that, as the Departmental Database, the FMAS PS contains accurate and current information. Project Leaders are accountable for the information contained in the FMAS related to their projects and are to ensure that all project information is regularly updated.

Routine cash phasing adjustments, within the approved ceiling of the project, are the responsibility of the project staff. Where there is a significant change in scope to a project or a change in project cost above the approved ceiling a formal project amendment is required.

Cancelling a project

9.1.13 If the decision is taken to cancel a project, early action must be taken to close that project in the FMAS PS. Just as for initiating a project the Group coordinator is responsible for this activity.

Completing a project

9.1.14 When project implementation has been completed the PM/Proc O, acting on direction from the Project Leader, will close out the project on the FMAS PS. The Project Director will complete a Project Completion Report.

Program and Project Files

Audit trail is essential

9.1.15 A complete and accurate management/audit trail must be maintained for all projects from initiation through to the termination of its life cycle.

Audit trail allows events to be related.

9.1.16 An adequate audit trail is necessary to enable management to direct and control operations, to permit the reconstruction of events for purposes of analysis or review, and to accommodate the needs of independent reviewers or overseeing agencies. The trail allows management and auditors to relate events (e.g., decisions, transactions, etc) forward or backward throughout the project life cycle. Records must be complete, accurate, accessible, linked and retained for an appropriate duration.

DMAC holds official "PROGRAM" files

9.1.17 As indicated earlier the FMAS PS database, combined with the paper files which contain the original "signed" copy of all program decision documents (SS (ID), SS(PPA/EPA)) maintained by DMAC, represents the official record of reference, from a Program Management perspective.

All Program files will contain the following file number:

- **3136-6-Project Number - for capital equipment projects**
- **3136-8-Project Number - for construction projects**

Project Files

9.1.18 Project files, retained by the project staff, also play an important role from an audit perspective. The PL is answerable for the quality of the project file. Records management requirements for project management, including file numbering, are described in A-LP-005-000/AG-002 (Project Management), Chapter 5.

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Capability Initiative Database

Overview

9.1b.1 The Capability Initiative Database (CID) is an information management tool designed to increase the efficiency and effectiveness of communicating project and program information within the department. It assists project staff in communicating project information within their own office and to other NDHQ matrix staff, including senior management, and provides program information and reports to senior management and program analysts. This tool incorporates:

a. The Internet Explorer Browser to provide a familiar interface for the input of project data and for viewing the resulting project and program information;
b. Data Input Forms (e.g. program and project document templates) for the structured input of project data;
c. The Defence Integrated Network (DIN) to provide the required internet networking platform to enable information stakeholders to input and view the information from most work locations within the department.

Senior Management Direction

9.1b.2 There are documents that mandate the use of the CID for all projects:

a. VCDS Memo (November 15, 2002) - All projects and initiatives must be resident in the CID prior to PMB approval.
b. ADM (Mat) Memo (November 19, 2001) - All project management staff are required to use the Progress Report on the CID for all capital projects with a total value greater than $30 million and strategic projects regardless of value.

Project Approval Document Templates

9.1b.3 Project staff must use the document templates found in the CID when completing their project approval documentation.

The CID templates are designed to eliminate the need to duplicate information in the project approval documents. When project information is entered into a template once, the relevant fields in the other documents are automatically populated. For example, milestone information entered into a SS(ID) will populate the milestone data fields in the other project approval documents as well.

Templates can be found in the CID for the following documents:

- Project Charter,
- Project Profile and Risk Assessment (PPRA);
- Statement of Operational Requirement (SOR); and
- Project Completion Report (PCR).

To access these documents, project staff must log into the CID to update their projects. Project staff can enter project information directly into these templates to store their project information in the CID

A tutorial is available for those who wish to familiarize themselves with the project approval document templates. Please refer to Section 9.1b.5 (Tutorial) for details on accessing the tutorial project.

Note: CID templates for the synopsis sheets are currently under review by DFPPC and are not available. Project offices are to use appropriate word processing templates for all synopsis sheets until advised otherwise.

Access

9.1b.4 Access to the CID is provided to all personnel who have access to the Defence Information Network (DIN) - the DND intranet.

Tutorial

9.1b.5 A tutorial is available for those who wish to familiarize themselves with the CID. It can be found in the CID on the Intranet.

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Chapter 9, Part 2 - Costing a Proposal

Accuracy of Estimates

Efficient resource management demands a high degree of accuracy in determining the quantity of resources required and when they will be expended. Government guidelines on project evolution emphasize the need for accurate costs and milestone data. Experience has shown that many project difficulties are directly related to the poor quality of cost estimates and unrealistic milestones.

Full exposure of Costs

The decision to implement the project must be taken in light of full exposure to all the costs associated with the proposal. These include the project costs, personnel, operations and maintenance costs and any other associated costs.

In this Part

The following topics are covered in this Part:

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Project Costs

What makes up the cost of a project?

9.2.1 Costing a proposal is not a simple task. Project staff must ensure that the implications of proceeding with a proposal have been well researched since this is a critical factor in making DSP decisions. In examining the impacts, staff must consider direct, related and contingency costs which will be brought together to present the "project cost" detailed in the Synopsis Sheet tables. P, O&M cost implications are also critical elements.

Project Costs

9.2.2 The following shall be included in project costs and shall be used when requesting approval in all decision documents:

- Direct Costs Those costs directly and solely attributable to the project such as: site preparation, consultants, acquisition, quality assurance, training, prime equipment, initial support spares, test equipment, documentation, transportation, travel, installation, trials, ammunition (initial operational stock and training requirements), project management, industrial preparedness, etc
- Related Costs Those costs not directly associated with the project but which are nevertheless applicable if the project is approved. These include related construction costs (for equipment projects), collateral requirements (e.g. extended airfield facilities in support of new aircraft, additional married quarters at an enlarged training site, additional base support personnel resulting from expanded operations) etc
- Contingency Costs Those additional costs which cannot be specifically identified at the time but which may be incurred as a result of estimating uncertainties and normal adjustments during implementation. This category includes deviations from the DND Economic Model.
- Goods and Services Tax GST is to be identified in all decision documents as a component of project cost. However, as GST is not funded from the DSP but from the GST Refundable Advance Account, GST expenditures should not be included in forecast or actual project cash flows. The net-of-GST project cost, which will be the total of the direct, related and contingency costs will be used for financial control and cash management purposes, and to determine if cost overruns have occurred.

Caution

9.2.3 While P, O&M costs may not be part of formal "project" costing, these costs may be critical for DSP decisions and must be addressed accordingly.

Class of Cost Estimates

Cost Estimates

9.2.4 In any project every effort must be made to define all variables as accurately as possible, particularly the auditable performance characteristics of the anticipated asset, project milestones and project costs. Project scope accuracy will be more narrowly defined as the project progresses from the Identification Phase (SS(ID)), to the finalization of the Definition Phase (SS(EPA)). The following two classes of cost estimates, as defined by TB, are to be used in the decision documents to describe the accuracy of the estimates:

- Substantive Estimate This estimate is one of sufficiently high quality and reliability so as to warrant Treasury Board approval as a Cost Objective for the project phase under consideration. It is based on detailed system and component design and taking into account all project objectives and deliverables
- Indicative Estimate This is a low quality, order of magnitude estimate that is not sufficiently accurate to warrant Treasury Board approval as a Cost Objective

Estimating Authority

9.2.5 The estimating authority for project capital costs is ADM(Mat), whose staff will supply the Project Director with the project cost estimates and the cash flow projections including escalation factors and contingency allowances. The estimating authority for P, O&M costs is DGMCBM

CAUTION: This means that the Project Director, in preparing decision documents and maintaining project data (FMAS) during the planning stage of a project, must coordinate closely with matrix authorities.

P, O&M projects

9.2.6 While the above definitions reflect the realities of "capital" projects, the same level of detail is expected for P, O&M initiatives even though such projects are not normally submitted to TB.

Dollar Types

CY and BY Dollar Types

9.2.7 Consistent with Government direction and DND practice, two types of dollars shall be used in decision documents and TB submissions, namely, "constant dollars" and "budget year dollars". (The Treasury Board sometimes uses "current dollars" to mean the same as budget year dollars.)

Constant Dollars (CY)

9.2.8 These are dollars of a particular year that must be specified in each instance. This base year for a project is selected by the sponsoring group to provide a fixed departure point for project cost calculations. An example of a base year cost would be $34.5M (1998-99). A new base year may be selected and costs updated accordingly by the sponsor as the decision-making process achieves each milestone (SS(PPA/EPA), etc.). Where the meaning to be conveyed is "in the dollars of a given base year", the expression "constant dollars", with the base year given, will be used.

Why the need for constant dollars

9.2.9 $CY is used in initial cost calculations, because just about all "available" cost data exists in today's dollars. We do not ask potential suppliers to provide "inflation" to future year costs because DND uses its own, TB endorsed, Economic Model to make these calculations. In the Capital Program, project staff develop the cost and cashflow for a project using the current year costs and they will show the cost projection using a $CY designation as illustrated above. A Finance Officer will use the economic model to convert the cashflow into inflated dollars, and *BOTH* sets of costing figures are carried in the project documentation.

$CY used for planning and modelling.

9.2.10 The DGSP staff use $CY exclusively to move planning cashflows (slipping or bringing forward) because this can be done without requiring any calculations using the Economic Model, and without any impact on the basic integrity of the initial cost development. After a plan is developed all costing data is converted to budget year dollars.

Budget Year Dollars (BY)

9.2.11 These are dollars quoted at their anticipated actual value at the time that the projected expenditures will be made. The BY dollars are calculated on the basis of DND Economic Model inflation rates. Within DND, the rates of inflation (which vary according to the commodity being described) are developed in the DND Economic Model which is normally issued in May of each year. Since the Economic Model is endorsed by the TB each year, DND $BY are accepted by Government as an accurate prediction of future costs in each year for which costing is provided.

CRITICAL: *Each issue of the DND Economic Model supersedes all previous issues. For pending decision documents all $BY calculations must be redone upon official receipt of the new model and $BY must be referenced to the actual model used.*

When is $BY used?

9.2.12 $BY is used in the approval process and in expenditure authority. Approval documentation will carry both sets of costs ($CY and $BY) and the cost of inflation (i.e. the difference between the total $BY and the total $CY) will be clearly identified. DND Strategic Level Committees (DC, DMC, PMB) and TB use $BY almost exclusively in arriving at the final decision to approve expenditures.

Escalation Factor (EF)

9.2.13 EF is the annual percentage by which the purchasing power of the dollar is expected to change during the spending period of the project. The EF applicable to a specific project will depend on the time span of the project and on the class of asset under consideration. The DND Economic Model, which forecasts inflation and foreign currency exchange rates, will normally form the basis for the calculation of the EF. Project capital costs therefore will not include any separate or additional allowances for these two factors, since they will have already been included in the costing figures.

Use of Both $CY and $BY Dollar Types

9.2.14 Decision documents require that project values which reflect the cost of the project be tied to both types of dollar values. For example, cost figures in $CY of a base year shall appear in Synopsis Sheets as well as $BY when phasing costs over future years It will be necessary to convert price quotations and other costing information received in other and/or mixed year dollars to the base year constant dollar value using the resource code inflation rates of the current DND Economic Model.

Contingency Cost Allowance

What is it?

9.2.15 Contingency allowance is that portion of the total estimated cost of a project that is provided to allow the Project Manager some flexibility to meet unforeseen changes in costs without retracing the approval process.

Contingency funds are budgeted for unforeseen, possible, or chance occurrences (e.g., design changes during production or construction, errors in estimating, unforeseen changes in rates of inflation or exchange) and the amount is determined through risk analysis and experience.

Normally 5-15% of a project's cost

9.2.16 Contingency will normally be in the range of 5-15 percent of the total non-recurring costs of the project and will be calculated on a cash-phased basis the same as other capital cost data. In cases where it is considered that provision of a larger contingency allowance is essential, the sponsor is to provide justification.

Displayed separately in decision documents

9.2.17 This allowance shall be calculated for each capital element, totalled, phased in accordance with the work schedule and the best estimate on likely spending, and displayed separately in the decision document.

PL accountable

9.2.18 The PL is accountable for the proper use of contingency funds and will consult the project SRB prior to approval. Use of contingency funding can only be authorized if its use is consistent with the approved scope of the project. Use of contingency funds must be properly documented.

Logistics Support

Logistics Considerations

9.2.19 Logistics support constitutes a major expense within the DSP and must therefore be given due consideration in the early stages of a project.

The PD and the PM must ensure that:

- all elements of Integrated Logistics Support (ILS) are considered (see A-LM-505-000/AG-001 ILS Guidance Manual and ILS Policy Directive 3/87)
- during negotiations leading to the acquisition of foreign-made, major equipment systems, in accordance with Government policy, priority is given to the establishment of a repair and overhaul (R&O) capability in Canada when it would be cost-effective to do so for the life of the equipment
- when required for strategic reasons, a national source of repair is identified (Note: policy documentation in transition; contact ADM(Mat)/ DBCM for advice)

Examine during Project Definition

9.2.20 During Project Definition and, to some extent, Project Options analysis, techniques of information comparison such as Life Cycle Costing (LCC), Logistic Support Analysis, and cost effectiveness analysis must be used to examine the various options.

One basis of estimates is Reliability and Maintainability data, acquired primarily from manufacturers and past users of the equipment in question. ADM(Mat) can assist in the development of these studies.

Useful references for this phase of the project are:

- A-LM-505-106/JS-001 Canadian Forces Life Cycle Cost Case Book
- A-LM-505-000/AG-002 Logistic Support Analysis Manual
- LOGAN 2.0 Software for doing LCC, LORA and sparing analysis

Synopsis Sheets must present to Senior Management the anticipated total resource implications and provide ample visibility of the total impact.

Additional Costing Considerations

Revenue Dependency

9.2.21 Revenue dependency charges represent the overhead cost applied against DND capital equipment projects by Public Works and Government Services Canada (PWGSC) in order to cover the cost of PWGSC contract management personnel and their operating costs.

Not all projects will incur such charges. Usually, these charges will be levied against projects which significantly increase PWGSC's workload (i.e. MCPs, complex, high risk or sensitive projects). Project staff are to consult with PWGSC to ascertain if such charges will be applicable prior to submission of DMS decision documents seeking SRB endorsement and project approval.

ADM(Mat)/DMG Compt shall be informed of all projects that will incur revenue dependency charges in order that these obligations are included in the annual rate negotiation process overseen by DMG Compt.

R&D Recoupment

9.2.22 Contracts entered into with the US government will normally include a pro-rated charge intended to recoup the one-time R&D costs. A waiver of these charges can sometimes be obtained and the PD shall seek such waivers. However, unless confirmation that waiver has been granted has been received before the decision documents have been raised, the SS(EPA) and TBS will include funding to cover R&D recoupment charges, which shall be separately identified. Should the PM subsequently be successful in negotiating a waiver for charges already included in the decision documents, these approved funds will be declared surplus and returned to the capital program.

Ammunition Policy

9.2.23 Project Leaders are responsible for ensuring that project documentation fully address the ammunition requirements related to the introduction of any new capital equipment and reflect the resulting costs within the total project costing. Costs to be considered are:

a. One hundred percent of the operational stock requirements

b. Two years of the training ammunition requirements

c. Incremental ammunition storage or maintenance facilities

d. License to manufacture

e. Technical data package

f. Costs related to transfering the technology to industry

g. Equipment and ammunition required to proof weapon systems

h. Tooling and test equipment

i. Costs to Canadianize for all components

j. Training aids and publications

k. Technical publications

l. Display ammunition

m. Costs of conducting a Safe and Suitable for Service assessment

n. Packaging or specific containers for ammunition

o. Conversion training on maintenance, handling and storage

p. Reference lot production

Capital equipment projects which include an ammunition acquisition component must ascertain whether the new ammunition will require a Canadian production capability in support of the Munition Supply Program (MSP) mandate.

The additional costs for new ammunition may be mitigated by offsetting the requirement for the old ammunition where migration to new ammunition is proposed. Furthermore, the Canadianization costs may be mitigated by corporate capital specifically identified for this purpose. In such cases, and for all capital projects with an ammunition component, ADM(Mat)/DAPM staff must be consulted regarding the costs of acquiring of ammunition.

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Chapter 9, Part 3 - Project Organization and Key Roles

Overview An essential element in the management of a project is an effective project organization, with clearly delineated roles and responsibilities. This part provides an general overview of the key roles in any project. For detailed guidance and information, individuals assigned responsibility for a project should refer to the Project Management Manual, A-LP-005-000/AG-001.

In this Part The following topics are covered in this Part:

TOPIC	PAGE
Project Organization	9-20
Project Leader (PL)	9-22
Project Director (PD)	9-24
Project Manager (PM)	9-25

Project Organization

Created to focus effort **9.3.1** A project organization is created to focus the attention and resources of several functional organizations on the achievement of a common set of objectives which do not fall entirely within the mandate of any single functional organization.

A project organization is temporary and exists only for the life of a project.

Matrix Management **9.3.2** The normal method of providing support to projects in NDHQ is through the matrix structure wherein the existing functional organizations commit to provide specialist services to the mandated PD/PM. Thus, there are two lines of authority, exercised horizontally across the functional structures by the PD/PM and vertically through the functional chain-of-command.

Project Team

9.3.3 A Project Team, lead by a Project Leader, includes a Project Director and Project Manager, each with complementary responsibilities, and functional members. It may also include members that do not have functional responsibilities and members representing other government departments.

Project Charter

9.3.4 The Project Charter is used to establish a mandate for a project organization. (See Part 5 of this Chapter)

Accountability, Authority and Responsibility

9.3.5 The following accountability principles apply to projects:

- a project organization must abide by the policies and procedures of functional organizations
- individual members within project committees retain their normal functional authority. Committee members are responsible for the guidance given by the committee to the Project Leader
- the Project Leader exercises normal functional authority and is accountable for the overall management of the project
- the Project Director is responsible for the overall guidance and coordination of activities during the sponsor leadership period of a project. The Project Director acts as the functional authority for the operational requirement and provides guidance, as appropriate, to the Project Manager throughout the life of the project
- the Project Manager is responsible for the overall guidance and coordination of activities during the implementor leadership period of a project. The Project Manager acts as the agent of the Project Director and is responsible for project management activities within the approved resources

Project Leader (PL)

Who is the Project Leader (PL)?

9.3.6 The PL is a specifically named person. The PL is accountable to the DM for the overall management of the project.

Selection of a Project Leader

9.3.7 In principle, the PL for all projects is a Level One Manager. This role may be delegated based on the following guidelines:

- in accordance with TB policy for MCPs, the PL will be a Level One Manager (the acceptability of delegation to a lower level would be confirmed with TB Secretariat during consideration of the Project Profile and Risk Assessment)
- for projects greater than $100M but considered low risk (as documented in the PPRA) the PL role may be delegated to a deputy Level One Manager
- for projects greater than $50M but less than $100M, the PL role may be delegated to a Director General
- for projects less than $50M, the PL role may be delegated to a Director or equivalent

CAUTION:

Delegation is not automatic and must be specified in writing and included as an annex to the Project Charter. (See Part 5 to this Chapter)

Leadership Periods

9.3.8 The PL chairs the appropriate project committee(s) and is accountable for the overall management of a project. The PL is initially selected from the sponsoring organization for a project, but project leadership transfers from the sponsoring organization to the implementing organization at a time agreed to by the two individuals involved.

Transfer of PL Responsibilities

9.3.9 The transfer from the Project Sponsor to Project Implementor is agreed by the two parties involved and documented in the Project Charter. It normally takes place before:

- Vote 5 capital expenditures begin
- any negotiations are undertaken with Industry
- a Senior Project Advisory Committee (SPAC) is convened

The handover shall be formally acknowledged in writing.

Project Director (PD)

PD Role

9.3.10 The PD is appointed by the sponsoring Level One Manager upon the recommendation of the Project Leader. The PD role is to ensure project objectives, linked to a validated operational requirement, are established early in a project and maintained through to project completion.

Matrix Support

9.3.11 To progress the project the PD needs specialist input from other functional organizations using the matrix management concept. The PD obtains the necessary functional inputs through a combination of negotiations with functional managers and direction provided by the PL, the SRB and departmental committees.

Responsibilities

9.3.12 On behalf of the Project Leader, the PD manages project activities, including the preparation and staffing of the documents necessary to obtain departmental approval and resource allocation.

Throughout the life of a project, the PD provides guidance to the PM, obtains approval for any necessary operational and cost/capability trade-off decisions and program approval for any proposed changes to the scope of the project.

During the project planning phase, the PD is responsible for maintenance of FMAS PS data.

On behalf of the Project Leader, the PD acts as the functional authority for the operational requirement and as the link between the project organization and user organizations whose needs the project will satisfy.

The PD is also responsible for the preparation of DMS decision documents, as well as certain project documents, including the Statement of Operational Requirement (SOR) and Project Completion Report (PCR).

CAUTION:

The PD may not use his/her position to by-pass or override the functional authorities of the matrix.

Additional Information

9.3.13 The PD's TORs, are contained in A-LP-005-000/AG-001, the Project Management manual.

Project Manager (PM)

Appointment of the PM

9.3.14 The Project Manager (PM) is appointed by the implementing Level One Manager and identified in the Project Charter.

PM Role

9.3.15 The PM manages project activities, while working with the PD to ensure the approved project activities are achieved.

PM Responsibilities

9.3.16 The PM is responsible to the PL for:

- the provision of technical advice to the PD and input to program decision documentation including the "Lessons Learned" portion of the Project Close-out Report
- planning activities leading to the approval of a Project Management Plan
- maintaining project momentum and managing the efforts of a specialist team toward the achievement of approved project goals, including cost, schedule and the SOR
- project status/progress reports, including maintenance of the FMAS PS data during project implementation

PM/PL relationship

9.3.17 If there is an urgent need, the PM is delegated the authority to go directly to the PL (implementing organization) to resolve conflicts and maintain project momentum. This authority is unique to PMs, all others must follow the chain-of-command and staffing procedures.

CAUTION: The PM may not use his/her position to by-pass or override the functional authorities of the matrix.

Additional Information

9.3.18 Additional information on the PIP, as well as the PM's TORs, are contained in A-LP-005-000/AG-001, the Project Management manual.

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Chapter 9, Part 4 - Options Analysis and Project Definition

Overview

Following problem identification, project management moves through options analysis and definition phases, leading to the final phase of implementation.

The Synopsis Sheet (PPA) summarizes the activities undertaken during the options analysis phase, whereas the definition phase results in the drafting of a Synopsis Sheet (EPA).

The project work conducted during these phases is critical to the eventual success of any project.

In this Part

The following topics are covered in this Part:

TOPIC	PAGE
Options Analysis	9-27
Project Definition	9-31
Defence Industrial Preparedness	9-32

Options Analysis

Key criteria

9.4.1 The information produced during this phase must meet three important criteria:

- it must point, at least in broad terms, towards a preferred course of action
- it must form the basis for the preparation of the SS(PPA)
- it must provide guidance for the subsequent project definition

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Dependent on size of project

9.4.2 The options analysis report will vary in magnitude and format with each project. It may, for large projects, be a compilation of separate individual reports each covering a particular functional portion of the work. For very simple projects, the SS(PPA) with its internal pages itself may be a sufficient record of the results of the options analysis, with many inputs being provided orally.

Flexible approach

9.4.3 The methodology and level of effort applied to different studies will vary considerably. It is impractical to attempt to establish a comprehensive set of rules or guidelines covering every contingency. To this end four aspects should be considered at an early stage:

- assistance available from the systems analysis and operational research staffs
- specialist advice
- R&D support
- the need for an auditable trail

Systems Analysis and Operational Research

9.4.4 The Director General Operational Research (DGOR) has the responsibility for providing DND with a systems analysis and operational research capability. DGOR maintains a unique cadre of skilled military and civilian specialists with sufficient breadth and depth of experience to carry out analytical studies (cost-benefit analysis, life cycle costing) to design, maintain and conduct research war games, modelling and large scale simulations. These defence scientists and military analysts also have ready access to streamlined support services, including a research library.

DGOR is organized along environmental lines in recognition of the day-to-day working relationship with corresponding environmental staffs. DGOR should be given the opportunity to assess their potential contribution to all projects. This can be achieved by ensuring that a copy of the SS(ID) is passed to DGOR.

Specialist Advice

9.4.5 The credibility of any study is largely determined by the assumptions made prior to and during the conduct of the study. It follows that the advice used in formulating assumptions must be of the highest caliber and from recognized sources.

R&D Support

9.4.6 In many cases, particularly those concerned with complex weapon systems, R&D involvement in assessing options may take the form of feasibility studies. At this stage R&D is primarily aimed at:

- ensuring an accurate assessment of risks associated with the options
- identifying how the element of risk associated with particular options can be reduced by means of directed research

CAUTION: The requirement for directed R&D at any stage of the project will inevitably have a significant impact on the project schedule. Under normal circumstances, a major R&D project can easily take five years to produce concrete results. Thus the Project Director must obtain an early assessment of R&D implications and realistically reflect such implications in the project schedule.

Modelling and Simulation (M&S)

9.4.7 The utility and requirement for Modelling and Simulation must be carefully examined early in the project. Both DGOR and Research and Development experts should be consulted.

Options Analysis

9.4.8 The detailed comparison of alternatives during this phase will take place in two stages. The first will rate each option against the criteria of the requirement itself and the constraints imposed. At this stage, those alternatives that clearly fall outside these yardsticks will be discarded. Those options that remain must then undergo a more rigorous analysis using cost-effectiveness or other economic comparison techniques. Use of DGOR expertise is invaluable at this stage.

Options Analysis should include LSA

9.4.9 Life cycle costing, including Logistics Support Analysis (LSA), must be used wherever possible, with particular care being given to the identification of critical assumptions and realistic life cycle periods. The Project Director must keep in mind the concept of marginal utility. Will the extra amount spent or the extra capability of an option significantly increase the satisfaction obtained from that option?

Political and Socio-economic Realities

9.4.10 Options analysis is not solely a matter of the quantitative comparison of costs and effectiveness. Often there will be factors of a political, socio-economic, or environmental nature that will influence the final result. Consideration of these factors in options analysis necessitates liaison broadly across the department. In the case of MCPs, inter-departmental liaison is mandatory.

Issues to be documented

9.4.11 To provide the basis of the SS(PPA) and the guidance for subsequent project definition, the options analysis should cover and document the following issues to a degree commensurate with the magnitude of the project:

- the mix of personnel, equipment, and facilities that constitute the option
- the key assumptions made and indications of their confidence levels
- the effectiveness of the option in meeting the aims
- estimates of all foreseeable costs, both recurring and non-recurring (including personnel in both dollars and person-years)
- predicted timings (milestone schedule)
- risks related to performance, costs, and timings
- the effect of variations in performance on costs (cost-sensitivity)
- any significant impact that this option might have on capabilities, organizations, or policies not directly related to the project, including interdepartmental and intergovernmental considerations

- the broad logistics, support, and training implications
- general contractual implications
- national, regional or local socio-economic benefits consideration
- special or shared funding potential
- a consideration of the environmental impact
- the bilingual documentation required
- the availability of sources of supply
- Research and Development requirements
- environmental assessment and energy impact
- nuclear safety regulations

SRB Checklist

9.4.12 Because of the importance of the above issues, a mandatory SRB Checklist is included as part of the "departmental" pages forming an SS(PPA) or SS(EPA) (See Chapter 7). This checklist is reviewed by the SRB during consideration of the SS(PPA) and SS(EPA), as well as at least annually.

Project Definition

Emphasis on Implementation

9.4.13 Having identified and gained endorsement to pursue an achievable option, the emphasis in the definition phase of a project is on implementation planning.

Project definition work is detailed and requires emphasis in:

- risk reduction
- work breakdown structure
- costing
- scheduling
- implementation concept and plan

The ADM(Mat) Project Management Manual (A-LP-005-000/AG-001 to 007) will provide assistance.

Documentation of Definition Phase Work

9.4.14 As was the case with the option analysis, the documentation of the definition effort will vary in magnitude and format with each project. It may, for large projects, be a compilation of separate individual reports each covering a particular functional portion of the work. Documentation requirements are outlined in the Project Management Manual.

In the majority of cases, project documentation will contain more information than is required in the SS(EPA).

Risk Reduction

9.4.15 From a DSP perspective each successive stage of project planning is an exercise in risk reduction.

An objective of the option analysis was to eliminate most of the major risks by establishing feasibility within broad cost and time envelopes.

A prime objective of project definition is to reduce risks to manageable levels so that approval to implement can ultimately be given with a complete awareness of all implications.

Defence Industrial Preparedness (DIP)

Secure sources of supply

9.4.17 A major element in the sustainment of conventional forces is the peacetime undertaking of measures to establish and maintain secure sources of supply. This should be considered during definition.

Industrial Preparedness Planning

9.4.18 The key to the Canadian approach to DIP planning is the establishment of assured, and, when deemed necessary, strategic defence sources of supply. DIP planning policies have been adopted by DND to ensure that industrial preparedness measures have been considered during the project approval process, in order to maintain a balance between operational commitments and preparedness capabilities.

Domestic sources of supply is preferred

9.4.19 Domestic sources of supply remain the cornerstone of the preparedness policy, at least for initial operational requirements. With proper planning, they can represent the most reliable sources under crisis or wartime conditions. However, for reasons of cost, it is recognized that arrangements must be made with other countries that maintain industrial capabilities to which Canada would require access in the event of war.

Canadian Industrial Base

9.4.20 It is critical that scarce resources be spent during peacetime only on those items deemed essential to the war-fighting capability of the Canadian Forces and only on items for which production and supply can, to reasonable degrees, be accomplished. Thus to achieve cost efficiency in rectifying the deficiencies of the Canadian defence industrial base, a selective approach to preparedness has been adopted. These types of decisions are critical and must be made at the earliest possible stage in the decision making process.

Who to contact

9.4.21 For more information, see NDHQ Policy Directive P3/89 (Defence Industrial Preparedness Planning), the draft Handbook for Industrial Preparedness Planning, or contact Director Industry Support and Analysis (DISA)/Director North American Materiel Cooperation (DNAMC).

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Chapter 9, Part 5 - Key Project Documents

Overview In this manual the distinction is made between "program" and "project" documents. Through the examination of program documents Senior management take decisions which ultimately impact on the DSP by committing resources. Project documents are used to manage and direct project activity, provide guidance to project staffs and report on key aspects of the project. Some project documents, however, have a direct bearing on the decision making and management of the DSP. These are highlighted in this part.

In this Part The following topics are covered in this Part:

TOPIC	PAGE
Project Charter	9-34
Statement of Operational Requirement (SOR)	9-36
Project Profile and Risk Assessment (PPRA)	9-39
Project Completion Report	9-43

Project Charter

What is a Project Charter? **9.5.1** A Project Charter establishes the mandate for project organization and provides guidance to the project team in the form of assigned responsibilities, broad project objectives, and contraints. It initiates staff action outside the sponsoring organization.

Reporting relationships and delegated authority are clearly defined and documented in the Project Charter for all members of a project organization.

Planned and prepared correctly, the Project Charter is a powerful document that eliminates the need for numerous memoranda and meetings in the future and that lends legitimacy to the project.

Mandatory **9.5.2** It is a mandatory project document.

When is it prepared?

9.5.3 A Project Charter is prepared as early as possible in the life of a project.

Living Document

9.5.4 The Project Charter is a living document that will evolve with the project. For example all the matrix support required in the future may be unknown at the early stages. As the project evolves and the immediate objectives change, the Charter will need to be amended.

Who initiates it?

9.5.5 The Project Charter is initiated by the Project Leader (PL), who at the early project planning phase, is within the sponsoring organization. Project leadership shifts to the implementation organization at a time mutually agreed, such as the first significant spending milestone, e.g. project definition funds or implementation.

Agreement on this leadership shift will be documented in the Project Charter. Ownership of the Project Charter moves with the change in PL.

Team Approach to preparation

9.5.6 The initial document should be written by the PD, with significant input from the PM, who would have been appointed usually upon approval of the SS(ID). This is the common-sense approach to the Charter, as it is team effort, which takes advantage of the institutional and occupational backgrounds of the PD and PM. The PM would normally draft those areas dealing with implementation questions, such as time, cost, risk etc. On the other hand, the PD would be concerned with the operational requirement, the approval process for changes to the end product prior to delivery, as well as the schedule.

Endorsement of the Charter

9.5.7 The Charter is to be endorsed by the members of the SRB.

Project Charter Template

9.5.8 Project staff must use the template found in the Capability Initiatives Database (CID) on the Intranet when completing the Project Charter.

For more information on the CID, please see S. 9.1b. in the DMS manual online.

Statement of Operational Requirement (SOR)

What is an SOR?

9.5.9 The Statement of Operational Requirement (SOR) is a mandatory project document. It communicates the characteristics of the operational requirement for a weapons/information/support system to technical and procurement staffs and contains the critical performance criteria necessary for evaluating technical options and assisting in the post-project completion evaluation of system performance.

It is an important link in the audit trail.

Who writes it?

9.5.10 The SOR is created by the Project Sponsor and normally written by the Project Director (PD). It is the functional responsibility of the Sponsor and is developed, staffed and approved as a Sponsoring Group activity.

It is the responsibility of the PD to work in conjunction with the Project Manager (PM) to obtain agreement on the SOR.

Must link directly to the SS (ID)

9.5.11 The delivered performance must be traceable to and may be measured against the requirement driven by the originally defined and Departmentally validated capability deficiency in the SS(ID).

Becomes a more definitive document

9.5.12 Although, like DMS decision documents, the SOR evolves from the SS(ID), it only becomes more definitive as options are developed and investigated, and tailoring occurs to make the SOR both relevant and current in terms of the latest policies, plans and threats.

Initial development of SOR

9.5.13 The initial development and staffing of the SOR would ideally occur during the options analysis phase; it would be ready for review by the SRB at the same time that the SS(PPA) is tabled. The PD has the responsibility for preparing the SOR to the satisfaction of the sponsoring Level One Manager.

It is the responsibility of the PD to ensure that the SOR remains current and that appropriate action is taken should any amendment be required. All changes must be reviewed by the project's SRB, and reflected in the minutes of the meeting. (In some cases, the SRB may recommend that the SOR be referred to senior management's attention due to the impact of the changes.).

Refinement during definition

9.5.14 During the project definition phase the requirement may be further refined as the achievable solution becomes known. The PD may find it necessary to compromise between the ideal solution and the achievable solution. This trade-off analysis is conducted by the Sponsor's staff. Depending on the magnitude of these changes, the PD may find it necessary to formally amend the SOR. Although affordability reasons could dictate that the ultimate number of systems procured is less than the SOR, the SOR should never be changed solely for this reason, as fiscal considerations may change.

Non-delivery of Essential Characteristics

9.5.15 In principle, the SOR is a pure statement of the characteristics that must be delivered in the operational system in order for it to satisfy fully the validated capability deficiency.

If for either affordability or technical achievability reasons one or more essential characteristics will not be delivered, the system will be declared operationally deficient on delivery. This is an operational issue to be addressed by the sponsoring Level One Manager in the case of non-strategic projects.

For strategic projects the decision shall be referred to PMB, and in some cases DMC, if the DPG will be compromised, the project scope is changed or the proposed resolution is to apply more resources. The SOR shall not be amended to reflect the acquisition plan. The SS(PPA) or SS(EPA) will reflect the decisions taken and why.

Importance of Operational Research

9.5.16 A key element in the development of the SOR and the examination of the above issues is the use of scenario testing and Operational Research Analysis.

SRB review of SOR

9.5.17 At that point in time when the SS(EPA) is submitted for approval, the SOR should be in its final form and it should complement the decision document. It will be used by the SRB when reviewing the SS(EPA). Therefore, the SOR should not recreate resource management arguments contained in the SS(EPA).

Approval of the SOR.

9.5.18 The SOR is approved by the sponsoring Level One Advisor. Prior to approval, the following are required to endorse the SOR:

i. the project SRB;
ii. DGSP for all strategic projects (projects with individual values of at least $100 M or those so designated by PMB as a result of significant importance or risk); and,
iii. VCDS for those projects reviewed by the JCRB.

JCRB endorsement prior to approval is required for those projects of joint or departmental significance or that have significant issues with respect to the operational requirement or capabilities to be delivered.

It should be noted that any project's SOR may be required to seek JCRB endorsement or confirmation, either before or after L1 approval, at the request of senior management (DM, CDS, VCDS, PMB, or a member of JCRB).

Signature of the SOR by the PM signifies the PM's commitment to seek delivery of the SOR with the funding, time and PM staff provided. It is the aim of the PM to deliver equipment and/or systems that satisfy the SOR.

Successful delivery of the SOR marks completion of the project.

SOR Template

9.5.19 Project staff must use the template found in the Capability Initiatives Database (CID) on the Intranet when completing the SOR.

For more information on the CID, please see S. 9.1b. in the DMS manual online.

Project Profile and Risk Assessment (PPRA)

What is a PPRA?

9.5.20 A Project Profile and Risk Assessment (PPRA) documents the risks associated with a project and outlines the management strategy to deal with them. It is mandatory for any project that will seek an approval from TB.

Note: The TB definitions of project risk assessment and identification are in the Glossary.

Who prepares it and when?

9.5.21 The Project Leader is responsible for preparing the PPRA. It should be raised once an SS(ID) is approved and the project is visible in the LTCP. The PPRA is amended each time there is a significant change to the project profile or the risk assessment.

LTCP consultation with TB Sec

9.5.22 PPRAs are forwarded to TB Sec in advance of the LTCP or Treasury Board Submission as an aid to reaching departmental/TB Sec agreement. Such consultation is conducted by DFPPC.

Composition of the PPRA

2.5.23 The PPRA is composed by completing information under specific headings:

- Strategic Concept
- Project Background
- Reporting Relationships
- Status and Effects of Agreements
- Project Plans
- Results of Current Project Risk Assessment

Strategic Context and Background

9.5.24 These sections describe the current capability deficiency and how the project fits into the strategic context as outlined in the DPG.

Reporting Relationships and the Status/effects of Agreements

9.5.25 Reporting Relationships show how the project is organized, describe the role of the SRB and list SRB and SPAC members (if applicable).

The status and impact of any agreement with another agency or government must be described.

Project Plans and Results of Current Risk Assessment

9.5.26 The section on Project Plans outlines activities, studies, milestones, etc.

The Project Risk Assessment section analyzes risk and proposes risk mitigation strategies. It is the Project Leader's plan to manage risk. (TBM *Capital Plans, Projects and Procurement* Chapter 2-2 Appendix C)

Internal and External Risk Factors

9.5.27 Internal and external risk factors must be considered in the overall risk assessment.

External risk factors are those that project management cannot control. These include:

- externally imposed deadlines
- currency fluctuations
- cooperative development obligations
- statutory requirements

Internal risk factors are those that project management can control. These include:

- the allocation of adequate resources
- performance risk
- the reliability of cost estimates
- schedule and technical risk

Risk Mitigation

9.5.28 The proposed risk mitigation measures are to be described.

The relationship with other projects, such as critical path linkages, must be addressed. Gantt Charts (task versus time modified bar chart) or Critical Path charts are an excellent way to illustrate the relationships and are preferred by TB Sec. Basically, the Project Director (PD) must answer the question "What happens if?" at each critical point.

Management Framework

9.5.29 The proposed management framework takes into consideration TB policies and departmental procedures. It must include:

- a clear accountability framework
- proposed funding approvals that are tied to deliverables
- project-specific authorities that will be negotiated
- a rigorous "go/nogo" decision process

This framework must be linked to the risk assessment.

It requires an organization chart with responsibilities assigned, down to those key members of the project management organization. The framework must include any interdepartmental arrangements or out-of-government participants.

Additional requirements for the Project Management Framework

9.5.30 The project management framework also must do the following:

- establish effective mechanisms for monitoring status and assessing performance, including: reasonableness checks; internal audit functions; improved TB submissions (TBS); increased TB Sec awareness; independent reviews when required; and technical peer teams when required

- use processes and documents that the TB Sec provide to support and assist the department, including: emphasis on smaller components; greater range of procurement options; guidelines on business case preparation and risk management; templates for MOUs, contracts, Request for Proposals (RFPs) etc.; and tools, techniques and methodologies such as Project Management (PM) Software, Functional Point Analysis, etc.

- use the cadre of experienced project managers that the Treasury Board is building within government

- use the results of the Treasury Board pathfinder projects to provide departmental opportunities to use and assess new solutions and ideas

- heed the proactive communication program being conducted by the Treasury Board across government

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Staffing the PPRA

9.5.31 Routinely, a draft PPRA is passed to DFPPC for their review and feedback. As part of the review, a copy of the draft will be provided by the DFPPC analyst to TB Sec for their comments. Upon receipt of feedback from DFPPC, the PL will revise the PPRA and subsequently consult the SRB prior to approving the final document. A revised and updated PPRA should be submitted to TB Sec through DFPPC in advance of submissions for PPA/EPA.

The approved PPRA is then submitted to the PRC or SPAC (if one exists) and to DFPPC for onward transmittal to the TB Secretariat.

Any significant amendments to the approved PPRA, in the form of a revised PPRA, are subject to the same staffing process as above.

PPRA Template

9.5.32 Project staff must use the template found in the Capability Initiatives Database (CID) on the Intranet when completing the PPRA.

For more information on the CID, please see S. 9.1b. in the DMS manual online.

Project Completion Report

What is it?

9.5.33 The Project Completion Report formally documents the project outcomes/performance against the approved project goals and objectives. To support management renewal/change it contains an important section on "lessons learned".

Who prepares it?

9.5.34 The Project Manager is responsible for the preparation of the Project Completion Report.

Contents

9.5.35 Guidance for the content and format of the Project Completion Report (and "lessons learned") is found in the Project Management Manual.

The Project Completion Report shall report an evaluation of the project in terms of:

- attainment of overall project objectives and the resources required
- meeting target dates and costs throughout the project
- responsiveness to user needs
- quality of workmanship
- adherence to policies, standards, guidelines and specifications
- deficiencies and problems
- recommendations which might affect future projects ("lessons learned")

Who reviews it?

9.5.36 Project Leader (Implementor)

Where is it sent?

9.5.37 The Project Completion Report is sent to DMAC 4 to be placed on the official project file. As well, the Capability Initiatives Database (CID) consolidates "lessons learned" from individual projects to provide a "lessons learned" library for future reference.

Project Completion Report Template

9.5.38 Project staff must use the template found in the Capability Initiatives Database (CID) on the Intranet when completing the Project Completion Report.

For more information on the CID, please see S. 9.1b. in the DMS manual online.

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Chapter 9, Part 6 - Project Committees

Key element in Project coordination. At various stages in a project's evolution the Project Leader submits the project to review by interested agencies to ensure that all appropriate concerns and coordination requirements have been adequately addressed.

Not "program" committees Unlike Program Management Board (PMB), these are called "project" committees in that the reviews and approvals given do not change the DSP. Such committees are an essential part of the "checks and balances" by Government and within the Department.

In this Part This part describes three major review committees, their roles and responsibilities, and the government's Procurement Review policy.

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Senior Review Board (SRB)

Departmental Committee **9.6.1** An SRB is a departmental committee which provides guidance to the Project Leader (PL) and helps him/her resolve issues. It is the vehicle used to ensure that Level One Managers and other major stakeholders have input into the management of a project, and that "program" issues are given due consideration at the appropriate level. An SRB convenes for all projects (capital or P. O&M).

Representatives mirror PMB membership **9.6.2** SRBs provide a rigorous departmental examination and certification that all project issues had been resolved prior to consideration by the approval authority. Accordingly SRBs, when addressing project issues on behalf of senior management, include representatives from all Groups represented at PMB.

Key Policy Statements

9.6.3 The following policy statements apply to SRBs:

- the PL is accountable, through the chain of command, to the Deputy Minister/Chief of the Defence Staff for all aspects of the project
- the PL is accountable for the expenditure of contingency funds and must ensure that such expenditure is reviewed by the SRB prior to release (see Block 9.2.18)
- the PL shall make personal representation on the project's behalf when issues of major difficulty arise with Treasury Board (TB) Secretariat
- unless specifically directed by the DM, regardless of whether the project is part of an LTCP, departmental approval and expenditure authority cannot be sought for any project which has not had the decision document reviewed by its SRB
- SRB members require an appropriate consideration period for all Synopsis Sheets and supporting documentation. Normally this should be no less than 10 working days; however, the actual period is to be agreed to by the SRB and documented in the Project Charter
- minutes shall be recorded and distributed for review by all SRB members
- every project shall be reviewed at least annually by its SRB

Composition of the SRB

9.6.4 The Project Charter specifies the SRB membership and terms of reference. The SRB membership is comprised of "Core Members" and "Associate Members".

The Project Manager (PM) and Project Director (PD) are not members of the SRB.

Core Members

9.6.5 Core members are generally limited to managers who are directly involved in supervising the immediate project staff, (e.g., the PM supervisor or higher). Core members remain for the entire life of the project and generally consist of representatives from the sponsor, the implementor and the procurement authority.

Associate Members

9.6.6 Associate members will reflect the organizations represented at PMB. Specifically, the following organizations will be represented: VCDS/DGSP, Chief of Maritime Staff (CMS), Chief of Air Staff (CAS), Chief of Land Staff (CLS), ADM(HR-Mil), ADM(HR-Civ), ADM(Fin CS), ADM(Pol), DCDS, ADM(IE), DND CIO and ADM(Mat). In some cases, specialty groups such as the JAG or DGPA may be named as associate members.

The primary role of these members is to provide advice to the PL on their functional areas of expertise. This membership provides a departmental overview of the management of each project.

SRB members functional responsibilities

9.6.7 9.6.7 Each SRB member brings to the table specific functional concerns and ensures the integrity of functional authorities. For example, the ADM(HR-Mil) would examine the project for training requirements, implications on MOC, force structure and so on. ADM (IE) would examine environmental, nuclear safety, construction issues, etc.

Observers

9.6.8 Attendance may be extended to other government departments, agencies or industry depending on the nature of the items under discussion and at the discretion of the PL, for example: Public Works and Government Services Canada (PWGSC) contracting officers, Treasury Board (TB) analysts, etc. Organizations within NDHQ such as Chief Review Services (CRS), Director General of Public Affairs (DGPA) or Director General Industry and International Programs (DGIIP) could also be included.

Rank/Level of Attendance

9.6.9 The rank of the representation shall be commensurate with the cost/risk of the project. This can be measured against the criteria for selection of a Project Leader (see page 9-22).

Meeting Agenda

9.6.10 Members (core and associate) and observers, will receive the agenda for **all** SRB meetings.

Attendance - Routine Issues

9.6.11 Core members will attend all SRB meetings. Associate members may opt not to attend for routine issues, but shall advise the PL of their decision not to attend.

Attendance - Key Documentation Review

9.6.12 Where a Synopsis Sheet is being reviewed for inclusion in an LTCP or forwarding for departmental approval and expenditure authority, attendance by associate members is critical.

In rare cases, if an associate member or an alternate cannot attend such a meeting, a statement indicating support for the proposal must be provided in writing.

If the proposal is not supported and the concerns cannot be resolved prior to the meeting, the PL must determine if the meeting can be rescheduled.

SRB members comment on attendance

9.6.13 If a member of the SRB feels that the attendance is not adequate for the type of decision being taken, that member may request that the PL reschedule the meeting. Should the PL choose to proceed with the meeting, the concern must be documented in the SRB minutes.

Disagreements

9.6.14 In those exceptional circumstances where an issue remains unresolved, the deciding voice will be that of the PL who must be prepared to defend a given position to the DM.

When disagreements occur at an SRB meeting which cannot be resolved, these issues should be taken "off-line" and elevated, if required, to the appropriate senior managers, ultimately the respective ADM or ECS.

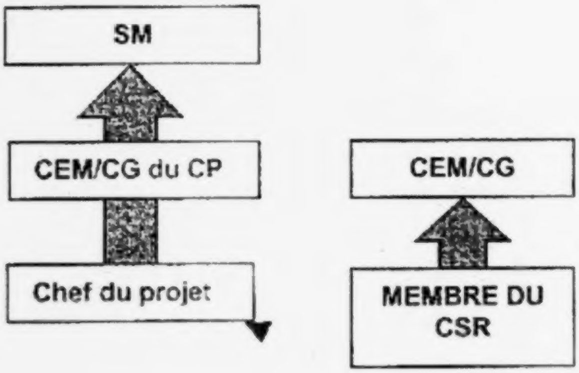
It is very important that the project SRB make every effort to ensure that only essential program issues are forwarded to PMB for resolution after attempting to resolve them through networking.

Accountability

9.6.15 The PL is accountable to the DM for the overall management of the project.

The SRB members provide advice to the PL and are accountable to their respective ECS/Group Principals for advice given.

This project accountability is demonstrated below:



SRB Responsibilities

9.6.16 SRBs advise the PL on the management of the project from planning through to implementation.

The Project Charter documents the SRB Terms of Reference (TOR).

The following provides a general overview of the responsibilities for consideration by the SRB:

- to provide the Project Director (PD), Project Manager (PM) and other team members with sufficient guidance, staff assistance and delegated authority for the proper conduct of the project

- to resolve differences between/among project team members
- to consider options presented by the project team
- to advise the PL on selection of the preferred option
- to review Synopsis Sheets (PPA or EPA) before these documents are included in an LTCP and/or forwarded for expenditure authority
- to approve the Project Charter
- to review project documentation; this may include, but is not limited to: the Statement of Operational Requirements (SOR), the Project Schedule, the Project Implementation Plan (PIP), the risk assessment (and PPRA when required), the Procurement Plan, the Project Completion Report
- to review all proposals to change the project scope (*viz.* time, cost, performance)
- to ensure that contingency funds are used for activities within the scope of the project and are expended only as a result of "unforecast events" beyond the project staff's control which make it impossible to get the deliverables for the originally estimated price
- to establish procedures for the conduct of SRB meetings
- to monitor and review project progress, including issues of finance, personnel, contracting, engineering, and integrated logistics support
- to review and recommend to the PL, PMB or TB changes to the Statement of Operational Requirements, statements of work, specifications or risk assessment
- to ensure that the project team complies with the policies and procedures imposed by higher authority
- to establish a cohesive DND position for any forum involving other government departments

Joint Capability Requirement Board

Joint Capability Requirement Board (JCRB)

9.6.17 The Joint Capability Requirement Board (JCRB) replaces the Senior Management Oversight Committee (SMOC).The JCRB will review proposals, challenge the issues and provide direction for the development of multi-purpose CF capabilities including the Long Term Capital Plan and Future Capability Plans.Routinely for strategic projects, JCRB will develop a joint understanding of Concepts of Employment/Operations, debate and reach consensus for Statements of Operational Requirement and resolve issues of project scope at the corporate level.The work of JCRB will be reviewed by the DM/CDS at least twice a year. DM/CDS will co-chair JCRB when strategic corporate program decisions are required.

Membership

9.6.18 The Joint Capability Requirement Board will include:

Chair	VCDS
Core Members	CMS CLS CAS DCDS ADM(Pol) ADM(HR-Mil) ADM(IM) ADM(S&T) ADM(Mat) ADM(Fin CS)
Associate Members	ADM(IE) ADM(HR-Civ) ADM(OCIPEP) CRS DGPA
Secretariat	DGSP/DDA (with scribe and analyst)
Attendees	A sponsoring member may bring two support staff to assist with presentations and responses. No other attendees are allowed. Core membership is based on the premise that most capabilities discussed at JCRB meetings link directly to the operating capabilities of the CF. JCRB meeting will not be held unless all core members are available. Accordingly core members must attend all meetings and be fully prepared to discuss proposals in detail to determine what, when and how much capability is required. Associate members will attend JCRB meetings at their discretion. Associate members will often be in a position to add advice and counsel. This can be important if there are potential cross impacts that add risk or planning complications.

Member Substitution

9.6.19 Attendance is mandatory and members may delegate attendance and authority to their immediate deputy, but no lower.

Frequency of Meetings

9.6.20 The Joint Capability Requirement Board will meet at the call of the Chair or when requested by a core member.

Record of Decisions

9.6.21a A Record of Decisions of the meeting will be prepared and maintained by the Secretariat.

Point of Contact

9.6.21b For further information regarding Joint Capability Requirement Board contact DFPPC Coord at 945-1304 and PGM 2-01 at the following address: http://www.vcds.forces.ca/dgsp/dmsmanual/pgm/intro_e.asp

Senior Project Advisory Committee (SPAC)

What is a SPAC?

9.6.22 The SPAC provides an interdepartmental senior level forum to guide a capital project, to facilitate agreements between departments, to resolve interdepartmental issues and to review project objectives and key project instruments. Whenever a SPAC is convened it also performs the function of a Procurement Review Committee (see paragraph 9.6.37).

Membership

9.6.23 The SPAC is chaired by ADM(Mat) (or DND CIO for some IM/IT projects). Membership includes representation from all other government departments with an interest in the project, including, as a minimum, Public Works and Government Services Canada (PWGSC), Industry Canada (IC), Western Economic Diversification (WED), Atlantic Canada Opportunities Agency (ACOA), and Canada Economic Development for Quebec Regions Agency (CED(Q)).

Established for all MCPs

9.6.24 A SPAC shall be established for all Major Crown Projects (MCPs) and for all projects (O & M and Capital) valued at more than $100M. Committee members from other participating departments participate to ensure the views of their departments are made known and to ensure prompt and effective action is taken to meet the obligations of their departments with respect to the MCP.

At the discretion of ADM(Mat) a SPAC may be convened to provide interdepartmental consultation for any project.

Terms of Reference (TOR)

9.6.25 SPACs do not consider Departmental issues such as the operational requirement or funding. TOR for a SPAC are contained in the A-LP-005-000/AG-001, the Project Management manual. The arrangements for interdepartmental participation are specified in an interdepartmental Memorandum of Understanding (MOU).

For additional Information

9.6.26 Treasury Board Manual *Capital Plans, Projects and Procurement* Chapter 3-2.

Procurement Review

Policy

9.6.27 The objective of the government's procurement review policy is to enhance the use of procurement in support of industrial and regional development and other national objectives in a manner that is fully consistent with the government's overall procurement policy, and with Canada's obligations under its international and domestic trade agreements. To achieve this objective, most procurement in excess of $2 million must be reviewed for potential regional and industrial benefits, and for its potential to further other national objectives. To ensure that this review is carried out in an efficient and cost-effective manner, Treasury Board has established an interdepartmental procurement review process.

Procurement Objectives

9.6.28 The procurement objectives of the Government of Canada are:

- that federal procurement stand the test of public scrutiny in matters of prudence and probity, facilitate access, encourage competition, and reflect fairness in the spending of public funds

- that the pre-eminence of operational requirements be ensured

- that long-term industrial and regional development and other appropriate national objectives, including aboriginal economic development, be supported

- that the government's obligations under the North American Free Trade Agreement, the World Trade Organization - Agreement on Government Procurement and the Agreement on Internal Trade be met

Long-term Industrial and Regional Development

9.6.29 Procurement initiatives in support of industrial and regional development must focus on assisting Canadian firms to become competitive in domestic and world marketplaces. Procurement must not be used to create or sustain dependent government suppliers.

Committees

9.6.30 There are four committees involved in the procurement review process in the federal government. These are:

- Procurement Strategy Committee (PSC)
- Procurement Review Committee (PRC)
- Advisory Committee on Repair and Overhaul (ACRO)
- Senior Project Advisory Committee (SPAC)

Application

9.6.31 The requirement for procurement review applies to most acquisitions of goods and services from the private sector, whether they are funded from the capital vote or the O&M vote. The several categories of procurement activity that are entirely exempt from the requirement for procurement review are listed below.

- Procurements conducted under the Shipbuilding Policy of the federal government
- Procurements conducted through Foreign Military Sales (FMS)
- Procurements conducted under the Munitions Supply Program (MSP)

In addition, procurements requiring a special degree of security by or on behalf of the Communications Security Establishment are exempt from the requirement for procurement review, although the principles of the procurement review policy must be applied where appropriate, consistent with the security requirements of individual procurements.

Timing

9.6.32 Procurement review activities should be conducted as early as possible. For projects, they are usually conducted during the project definition phase and are usually initiated by the Project Manager or the project's Procurement Officer. Procurement review is implemented through the office of ADM(Mat)/DMGCP as the DND point of contact with the PWGSC Procurement Review Secretariat.

What is the PSC?

9.6.33 The PSC is an interdepartmental committee that considers the socio-economic development potential of all procurements valued at more than $2 million except those considered by a SPAC or by ACRO. The role of the PSC is to identify those procurements that its members believe have sufficient socio-economic development potential to merit more detailed consideration by the Procurement Review Committee (PRC). Determinations of the PSC are based largely on analysis of the procurement strategies proposed by DND and PWGSC, and on industrial information provided by

Industry Canada and the regional agencies. The PSC does not consider DND-specific issues such as the operational requirement or funding.

Membership of the PSC

9.6.34 The PSC is an ADM-level committee chaired by PWGSC with membership including representatives from the sponsoring department, and from Atlantic Canada Opportunities Agency (ACOA), Human Resources Development Canada (HRDC), Foreign Affairs and International Trade (FAIT), Canada Economic Development (CED), Finance, Department of Indian Affairs and Northern Development (DIAND), Environment Canada (EC), Industry Canada (IC), National Research Council (NRC), Treasury Board Secretarait (TBS) and Western Economic Diversification (WED).

Criteria for consideration

9.6.35 The PSC considers procurements valued at between $2 million and $100 million, regardless of estimated individual contract values.

Procurement Review Procedure

9.6.36 When the PSC concludes that a procurement offers sufficient potential for socio-economic development, a secretarial meeting of the PRC is convened to develop the socio-economic development portion of the procurement strategy (usually the identification of Industrial and Regional Benefits (IRBs) to be sought as part of the procurement).

What is the PRC?

9.6.37 The PRC is an interdepartmental committee convened to consider in detail the socio-economic development potential of procurements identified by the PSC as having such potential. The PRC develops the IRB approach that will be taken during the contracting phase of the procurement. The PRC does not consider DND-specific issues such as the operational requirement or funding.

Membership of PRCs

9.6.38 The PRCs are chaired by PWGSC and have the same membership as PSCs.

Criteria for consideration

9.6.39 PRC will only be convened for procurements having been assessed by the PSC as having socio-economic development potential beneficial to Canada. For purposes of procurement review, a SPAC will perform the same oversight and direction function as the PRC.

For additional Information

9.6.40 Treasury Board Manual *Capital Plans, Projects and Procurement* Chapter 3-2 provides additional information on the roles of the Procurement Strategy Committee and the Procurement Review Committee.

Further departmental-specific information can be obtained by contacting ADM (Mat)/DMGCP.

What is the ACRO?

9.6.41 The Advisory Committee on Repair and Overhaul (ACRO) is an interdepartmental working level committee that reviews and resolves areas of conflict related to the development of procurement strategies for those contracts included in the annual defence Repair and Overhaul plan that are valued at greater than $500K. Upon completion of its review, the ACRO submits the annual plan for approval to the standing SPAC for Repair and Overhaul.

Membership

9.6.42 The ACRO is chaired by DND in the person of the Director of Common Procurement Supply (DCPS), and includes representatives from each of DGAEPM, DGMEPM, DGLEPM and DQA in DND, and from each of PWGSC, ACOA, CED, WED, IC, and TBS (non-voting member).

Criteria for consideration

9.6.43 The following factors determine whether an R&O procurement has to be submitted to the ACRO process and be approved by the SPAC as part of the annual defence Repair and Overhaul plan:

- if it will result in an expenditure greater than $500K in any one year period, including contract renewals not already approved by ACRO
- if it may result in a multi-year contract
- if it relates to an R&O requirement whose costs have increased or whose scope has changed
- if it is a sensitive project requiring senior management oversight

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For additional information

9.6.44 Additional information on the R&O procurement review process, and the role of ACRO may be obtained from ADM(Mat)/DCPS.

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Chapter 9, Part 7 - Departmental Assistance

Knowing where to find information

There is a wealth of knowledge and experience available in the Department which can assist staff officers. Often the problem comes down to knowing who to contact to get this information.

Purpose of this Part

The purpose of this Part is to provide staff with the "first point of contact" within the Department and to provide some frame of critical reference when drafting Program Decisions Documents and conducting a last review prior to submission to the SRB.

In this Part

The following topics are covered in this Part:

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Critical Assessment Checklist for Projects	9-63

Departmental Contacts

Table **9.7.1** The table below outlines Sources of Information and First Contacts.

Factor	Sources
Policy:	
Government and Defence Policy	ADM(Pol)/D Pol Dev
Defence Objectives, Priorities and Constraints	ADM(Pol)/D Pol Dev
Capability Requirements	VCDS/DGSP CMS CLS CAS

Cabinet Matters	ADM(Pol)/D Cab Ln
Defence Relations, Commitments and Agreements	ADM(Pol)/DG IS Pol
Financial Policy Matters	ADM(Fin CS)/DG Fin S
Procurement Policy	ADM(Mat)/DBCM
Defence Management System	VCDS/DGSP/DFPPC Analysts CMS, Pol, DGPA, CRS - DFPPC 2 CLS, DCDS, CFNA - DFPPC 3 CAS, NSS, JAG, NORAD - DFPPC 4 HR, CIO, FIN, Mat, IE - DFPPC 5 DMS Manual - DFPPC 6
Alternative Service Delivery	VCDS/DGMRS
Operations and Force Development	
Defence Planning Guidance	VCDS/DGSP
Operational Requirements	VCDS/DGSP CMS CLS CAS
Operational Scenarios; Tactics; Operational Training	DCDS CMS CLS CAS
Long Term Capital Plan	VCDS/DGSP/DFPPC
Flight Safety	CAS/DFS
General Safety	VCDS/D Safe G
Nuclear, Biological and Chemical Coord	DCDS/J3 Trg/NBC
Frequency Spectrum Allocation	DND CIO/DGCED/DFSM
Materiel	
ADM(Mat) First Contact	ADM(Mat)/DGMCBM
O&M Costing	ADM(Mat)/DMG Compt
Capital and National Procurement	ADM(Mat)/DGMCBM
Technical and Scientific	ADM(Mat)/DGRD Ops

Tech Feasibility (Maritime)	ADM(Mat)/DGMEPM
(Land)	ADM(Mat)/DGLEPM
(Air)	ADM(Mat)/DGAEPM
Comm/IM/IT)	ADM(Mat)/DGEPS
and Industry Capabilities	ADM(Mat)/DGIIP
Equipment Design and Specifications	
(Maritime)	ADM(Mat)/DGMEPM
(Land)	ADM(Mat)/DGLEPM
(Air)	ADM(Mat)/DGAEPM
(Comm/IM/IT)	ADM(Mat)/DGEPS
Radiation Safety	ADM(IE)/DGNS
Maintenance Concepts	
(Maritime)	ADM(Mat)/DGMEPM
(Land)	ADM(Mat)/DGLEPM
(Air)	ADM(Mat)/DGAEPM
(Comm/IM/IT)	ADM(Mat)/DGEPS
Equipment Evaluation	
(Maritime)	ADM(Mat)/DGMEPM
(Land)	ADM(Mat)/DGLEPM
(Air)	ADM(Mat)/DGAEPM
(Comm/IM/IT)	ADM(Mat)/DGEPS
Construction Requirements & Costs	ADM(IE)/DGCPS
Environmental Considerations	ADM(IE)/DGE
Project Management	ADM(Mat)/DBCM
Procurement and Supply Policy	ADM(Mat)/DBCM
Food Services	ADM(Mat)/D Sup

Transportation	ADM(Mat)/DTM
Ammunition	ADM(Mat)/DAPM
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Industrial Preparedness	ADM(Mat)/DGIIP
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Organization and Personnel	
ADM(HR-Mil/Civ) First Contact	ADM(HR-Mil)/COS ADM(HR-Mil)
CF Organizational Orders	VCDS/DFPPC
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Personnel Qualification Requirements	ADM(HR-Mil)/DEMR ADM(HR-Civ)/DCPRO
Military Manning	ADM(HR-Mil)/DMMD
Civilian Human Resource Planning	ADM(HR-Civ)/DCHRPOS
Training and Training Aids	ADM(HR-Mil)/DRET
Medical	ADM(HR-Mil)/CFMG
Dental	ADM(HR-Mil)/DDS
Official Languages	ADM(HR-Mil)/DOL
Personnel Services	ADM(HR-Mil)/DGPS
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Finance	
ADM(Fin CS) First Contact	DMAC
Current Year Budget Status	ADM(Fin CS)/DG Fin/DB
Financial Status Report	ADM(Fin CS)/DG Fin/DB
Financial Managerial Accounting System	ADM(Fin CS)/DG Fin/DMAC
Defence Services Program Status	ADM(Fin CS)/DG Fin/DMAC
Plans. Infrastructure	DGSP
Standards, System Development Methodology	ADM(Fin CS)/DG Fin/DMAC
Corporate Data Management	ADM(Fin CS)/DG Fin/DMAC
Functional Requirements Analysis	ADM(Fin CS)/DG Fin/DMAC
Software Applications	ADM(Fin CS)/DG Fin/DMAC

Life Cycle Data Management (Maritime) (Land) (Air) (Comm/IM/IT)	 ADM(Mat)/DGMEPM ADM(Mat)/DGLEPM ADM(Mat)/DGAEPM ADM(Mat)/DGEPS
Engineering, Design Authority, LCMM (Maritime) (Land) (Air) (Comm/IM/IT)	 ADM(Mat)/DGMEPM ADM(Mat)/DGLEPM ADM(Mat)/DGAEPM ADM(Mat)/DGEPS
Procurement and Supply	ADM(Mat)/DMG Compt
Study & Documentation Assistance	
Operational Research (Land, Air, Maritime, Electronic Warfare)	DCDS/DGOR
Strategic Analysis	ADM(Pol) VCDS/DGSP/DDA DCDS/DGOR
Logistics	ADM(Mat)/DGMCBM DCDS/DGOR
Program Decision Document Preparation	VCDS/DGSP/DFPPC
Bilingual Publications Requirements	ADM(Mat)/DQA
Legal	JAG
Public Relations	DGPA
International MOUs	ADM(Mat)/DGIIP

Critical Assessment Checklist for Projects

Last Check

9.7.2 Project staff may find the following questions of assistance when conducting a final assessment of decision documentation prior to submitting the proposal for review by the SRB. In many cases these are the types of questions that are raised by SRB members.

Is there a sound basis for the operational requirement?

9.7.3 Verify that the proposal is consistent with the DPG.

Determine whether the proposal satisfies the documented deficiency reflected in the SS(ID) for the project.

Verify whether the proposal is consistent with operational deficiencies reflected in Business Plan and Performance Reports.

Determine whether the arguments in the decision document are logical.

Is the project scope clear and defendable?

9.7.4 Is the scope of the project in the decision document consistent with previously approved decision documents? If not, the scope change must be approved by the Sponsor or PMB (in the case of Strategic projects) and TB (if necessary), after being approved by the SRB.

Are there Force Development/ Structure issues?

9.7.5 Verify that the proposal is consistent with the DPG and the appropriate Business Plan (the Facilities Development Plan in case of construction projects). Double-check or perform a reality check regarding the appropriateness of the quantities requested.

Is the status of options analysis appropriate for this stage of the project?

9.7.6 Have the options been adequately described/compared considering the level of approval being requested. For example:

- SS(ID) - a broad range of options have been identified
- SS(PPA)
    - has a life-cycle costed options analysis been presented showing the life-cycle capital and P, O&M costs of all the options
    - has a value-analysis matrix or comparable summary been provided to show the relative ranking of all the options against the weighted criteria used for selection
- SS(EPA)
    - is the proposal consistent with the SOR. Where it deviates, have the changes been acknowledged and agreed upon
    - for the present stage in the project's life, does the costed option appear the most reasonable one to pursue

Are there outstanding affordability issues?

9.7.7 Ensure that the cash phasing in the decision document is consistent with the Long Term Capital Plan and the FMAS PS.

Consider any more recent and anticipated realities and expectations with respect to the defence budget and emerging priorities.

Verify that the definition funds requested seem reasonable.

Assess at a macro level the incremental P, O&M costing/savings for reasonableness, completeness and potential cross-Group impacts.

Are there any procurement issues?

9.7.8 If a Procurement Review Committee Record of Review is required (refer to Part 3), determine whether it is attached and whether the proposed procurement approach proposal is consistent with it.

If a Senior Project Advisory Committee (SPAC) exists for the project, examine/review the latest minutes to verify Other Government Departments' (OGDs) approval/endorsement of the strategy.

Consider any milestone and cash phasing issues related to the procurement process that have not been addressed.

Are there any environmental issues?

9.7.9 It is critical to determine if an environmental assessment is required for the project under the Canadian Environmental Assessment Act, or if an assessment should be conducted to assure "due diligence". Additional information is available in Annex A to this chapter.

Some of the questions to consider are:

- Have the environmental risks associated with the project been adequately identified and documented?
- Have environmental issues been incorporated into the Life Cycle Analysis?
- Has the appropriate public consultation been conducted? Have government regulators and expert departments been consulted as appropriate?
- Have opportunities for pollution prevention and waste minimization been evaluated? Is there an opportunity to use Environmental Choice products, recycled materials, or environmental preferred technologies?
- Have commercial alternatives to military specified materials been evaluated? Is there an opportunity to design recyclability into the project?
- Have energy conservation and fuel consumption been accounted for? Is there an opportunity for alternative fuel use, or use of non-military specification

fuel?

- Have decommissioning and disposal options been clearly identified and costed? Have any environmental remediation costs associated with the project been reasonably estimated?
- Is the project consistent with the DND Code of Environmental Stewardship, and the DND Environmental Management System?

Are there any project costs, savings, trade-offs and/or offsets issues left open?

9.7.10 Have the proper costing pages been included and does the costing appear reasonable and complete?

Are savings, if promised, costed and shown to be capturable?

Are all P, O&M savings new savings not elsewhere mandated or counted?

Have Groups impacted by the project agreed to their share of the P, O&M implications?

Has a business case been made for the way of doing business proposed in the submission? Is the proposal the most reasonable and cost effective way of doing business?

Determine whether the contingency allowance appears reasonable.

Will decision makers be comfortable about risk?

9.7.11 Ensure risk has been objectively assessed and not over-emphasized. Some risk is normal, but "high risk" is the exception and whenever it is stated, should be assessed with great care. Must assess whether risk is fully identified with potential mitigation opportunities.

Have real milestones been identified?

9.7.12 Ensure that milestones appear realistic and that any abbreviated procedures are explained.

Are the milestones achievable?

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Chapter 9, Annex A - Environmental Considerations

Background

Government legislation, policies and environmental assessment requirements require the Department to control environmental and energy risks of projects. This section provides direction to ensure that environmental considerations are incorporated into the project approval process. The term "environmental" includes energy management, natural resource conservation, protection of flora and fauna and waste management.

Policy

All projects will comply with the Code of Environmental Stewardship. In the management of the DMS and in each relevant DMS decision document, DND undertakes to:

- demonstrate responsiveness to and responsibility for protecting the environment as we carry out our activities
- adopt a sound environmental ethic, ensuring that we are responsible partners in the Government's overall environmental program

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Environmental Stewardship and Sustainable Development

DND presented its Sustainable Development Strategy(SDS) to Parliament in December 1997. The SDS outlines DND's approach to participation in the government's overall environmental program. Consistent with DND's SDS and based on the Code of Environmental Stewardship, approved in NDHQ Pol Dir P5/92 (DAOD 4003-0), DND is committed:

- to integrate environmental concerns with operational, financial, safety, health, economic development and other relevant concerns in decision-making
- to meet or exceed the letter and spirit of all applicable federal environmental laws and, where appropriate, to being compatible with provincial and international standards
- to improve the level of awareness throughout DND of the environmental and health benefits and risks of operational decisions, and to encourage and recognize the actions of personnel
- to apply environmentally responsible management practices to hazardous substances used in operations, including biological products, specifically with regard to the acquisition, handling, storage, safety in use, transportation and disposal of such substances
- to ensure that environmental considerations are integrated into procurement policies and practices

Consistent with DND's SDS and based on the Code of Environmental Stewardship, DND is committed:

- to seek cost-effective, environmentally sound ways of reducing the consumption of raw materials, toxic substances, energy, water and other resources, and of reducing the generation of waste (solid, liquid and gaseous) and noise associated with day-to-day operations
- to acquire, manage and dispose of lands in a manner that is environmentally sound, including the protection of ecologically significant areas

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Communications Strategy

Project staffs should note public affairs guidance contained in the DND Strategic Communications Plan. Projects must reflect the Department's concerns and its proactive stance on environmental issues. ECSs/GPs are to communicate with their personnel, other government departments, and with the public, to demonstrate our commitment to safeguarding the environment. Assistance on public affairs is available from DGPA.

Prioritization Criteria

Although environmental considerations are important, it is recognized that not all activities can be implemented immediately. Generally, the criteria for setting priorities, in order of precedence, are:

- risk to human health, either direct or indirect
- compliance with legislation and regulations
- risk to the environment and non-compliance with government policy
- restoration/enhancement of the environment

Assistance for project staffs

Director General Environment (DGE) staff will assist with environmental issues. DGE:

- provides expert advice on:
    - energy management
    - natural resource management
    - waste management
    - airfield zoning and aircraft noise reduction
    - environmental engineering (including remediation, site investigation, hazardous materiel management, decommissioning and baseline studies)
    - environmental assessment
- monitors and advises on implementation of environmental policies
- coordinates and develops environmental policy
- supports environmental awareness and job-related training

- promotes sustainable environmental practices with respect to DND operations and activities

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Senior Environment Management Committee (SEMC)

SEMC, a sub-committee of PMB, has a mandate to provide strategic advice and direction for the Environment Program. Its functions are to:

- support the Canadian Forces and National Defence Policy on the Environment
- establish objectives for the Code of Environmental Stewardship and approve the Environmental Action Plan to implement those objectives
- recommend approval of the annual State of the Environment report
- recommend the resources required for the Environment Program
- respond to energy and environmental protection issues
- provide general direction for SEMC working groups

SEMC is supported by a number of working groups. Members of the working groups are a source of expert environmental advice and experience related to the members' specific disciplines. For further information on SEMC working groups, contact DGE.

Project Requirements

All SS(PPA)s and (EPA)s shall comply with environmental assessment requirements, including an evaluation of the energy impact of the project and the potential for and impact of simulation where applicable. These expenditure authority documents shall also incorporate a risk assessment using the prioritization criteria in this annex.

Further information on environmental and energy requirements may be found in the following documents or at the intranet site for the Director General Environment:

http://131.134.224.15/dge/dge2e.htm

Document Code #	Title
NDHQ Pol Dir P5/92 (DAOD 4003-0)	CF and DND Policy on the Environment
DAOD 4003-3	Environmental Protection and Stewardship
A-EN-007-000/FP-001	DND Environmental Assessment Manual
(Draft) - OPI: D Env P	DND Level I Environmental Screening Manual

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Chapter 10 - Industry and International Materiel Cooperation

Office of Primary Interest

10.0.1 ADM(Mat) is responsible for the overall conduct of international materiel cooperation. On behalf of ADM(Mat), the Director General International and Industry Programs (DGIIP) supports the development and maintenance of the Canadian defence industrial sector and promotes Canadian defence materiel interests abroad.

Overview

10.0.2 The DND/CF seeks to foster national objectives by co-operating with and supporting Canadian industry as well as participating in a large number of international co-operative activities. This participation ranges from membership in the United Nations (UN), North Atlantic Treaty Organization (NATO), North American Aerospace Defence (NORAD) and America, Britain, Canada, Australia Nations (ABCA) to on-going contact with colleagues from other nations Canada considers friends and allies.

The potential benefits to these co-operative activities are:

- improved military effectiveness via increased interoperability
- standardization and training
- economies in production and development
- opportunities to include unique Canadian requirements during development phases
- technology transfer
- opportunities for Canadian defence industries to participate in international defence markets
- cost-effective life cycle management opportunities
- lower life-cycle maintenance cost
- streamlined acquisition methodologies
- shared requirement identification, analysis and resolution

Examples of Projects Pursued through International Cooperation

10.0.3 Projects which the DND/CF pursues on behalf of the Government of Canada fall into three categories, in terms of the deliverables to the DND/CF and Canada:

- activities in which goods or services are acquired for the specific use of the DND/CF (example: the NATO SEA SPARROW program in which the missiles, in their upgraded version, will see service in the Canadian Navy)
- activities that assist in solving a DND/CF problem or satisfying a requirement (example: bilateral or multi-lateral users groups from which we benefit from the sharing of knowledge and experience)
- other activities that satisfy a corporate or policy based objective, that is

nevertheless in the DND/CF's interest or is best pursued by the DND/CF on behalf of the Canadian Government (example: NATO commonly funded programs such as the NATO Security and Investment (Infrastructure Program) Fund) and the NATO Airborne Early Warning Program (NAEW).

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Part 1 – Planning Considerations

General Planning Considerations

10.1.1 While the benefits are substantial, the complexity of participating in an international program cannot be overstated. There is a risk, amply demonstrated by historical experience, of being captured by an international activity that does not live up to its promise or results in substantial cost and time escalations relative to what had been forecast. The national representative's ability to control the progress and outcome of an international program is less than for a national program. Great care needs to be exercised in the early stages of a program to ensure that these risks are clearly identified.

Sponsors and project staff should always seek consultation and advice from DGIIP as a preliminary step and should remain aware of the requirement for early senior management involvement.

Resource and Legal Issues

10.1.2 Resource and legal questions are the most prominent issues in an international co-operative program or activity. International activity milestones seldom coincide precisely, either in time or in substance, with the steps or stages normally planned for DND/CF projects.

International projects and activities will almost always involve the development and signing of Memoranda of Understanding (MOUs). Accordingly, DND/CFLA MERPL and JAG DLAWI/MOU Coord should be added to the consultation list.

Funding may be linked to or sought under Vote 10. Consultation with DGIIP, D Fin Ops and ADM(Pol) will be required. Staff should never consider establishing an international project or activity within the bounds of a single business planning unit and Program Management Board (PMB) oversight will always be required.

Remember that:

- No commitment of resources may be made towards any project until the project has been identified in the Level 1 business plan
- No commitment of resources may be made towards the Definition Phase of any project until the SS(PPA) has been approved giving approval in principle to the project as a whole, along with the identification of the required share of the Definition Phase funding
- No commitment of resources may be made towards the Implementation Phase of a project until SS(EPA) has been granted

Cost Control

10.1.3 The normal provisions and requirements of cost control must be emphasized in the case of an international project or activity. This is particularly true given the use of different methods and terminology in an international project or activity. Particular attention should be paid to the costs associated with delay. Potential cost overrun difficulties have been exacerbated when Canadian representatives do not promptly address project difficulties. A delay in seeking a decision on project changes or cost increases can result, in an extreme case, in others assuming that Canada had accepted the obligations resulting from such changes before senior management has had the opportunity to review the issue and make a decision. The project authorities are expected to take all possible action necessary to maintain cost control and to engage their Senior Review Board (SRB) should such measures prove to be less that fully effective. In addition, the use of direct communication between ADM(Mat), as Canada's National Armaments Director, and his international counterparts, is a useful technique, if warranted, to contain or resolve issues of this sort.

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Chapter 10, Part 2 - Mechanisms of International Materiel Cooperation

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Focus on Results

10.2.1 Choice of the co-operative mechanism should not be the primary consideration when deciding whether to pursue international cooperation. The capability being pursued or the requirement being acquired is of primary importance. The method chosen to accomplish these objectives is secondary. It is important to ascertain that the DND/CF is not placed in an untenable position in the process of negotiating and executing international activities.

Mechanisms of International Cooperation

10.2.2 The most familiar mechanisms under which DND/CF international materiel cooperation occurs are:

- Bilateral materiel-related talks at the margins of annual (or periodic) political-military agreements
- Exchange of letters setting an agreed framework and context for talks
- Working level exchanges (sometimes very informal) and/or bilateral exchanges on specific projects
- Defence Development/Production Sharing Agreement - USA
- Conference of National Armaments Directors (CNAD) at NATO
- Bilateral Memorandum of Understanding (MOU)

Memorandum of Understanding

10.2.3 The most commonly used vehicle for activation of an international project or activity is a Memorandum of Understanding (MOU). An MOU may be established to cover any one of a variety of joint endeavours including co-operative research, co-operative shared development, information exchange, material acquisition and logistic support. Further guidance is available in DAOD 7014, Memoranda of Understanding (MoU).

Memoranda of Understanding:

- are signed written records of understanding, between the Minister of National Defence or DND/CF, and another international participant(s) (such as the armed forces of another country, departments of foreign governments, or an international organization, (NATO or the UN), or one of their agencies)
- describe arrangements or undertake commitments concerning the allocation and use of national or DND/CF resources
- can also propose using the resources of the non-Canadian participants in a

project, program or undertaking in Canada

Projects should have MOUs that clearly define the agreed Canadian resource limits in kind, in amount and in time.

MOU Language

10.2.4 Apart from an understanding that MOUs are not legally binding, it is important to stress that often the principal differences between an MOU (an understanding) and an Agreement (in effect a treaty) is in the language contained in the document. While MOUs speak of *arrangements*, *participants* and use the verb *will*, treaties speak of *agreements*, *parties* and use the verb *shall* indicating legally binding obligations. This is by no means intended as other than an illustration of the importance of words when preparing international documents. When preparing drafts, authors must carefully review their language and ensure appropriate consultation with and review by DLAWI/MOU Coord.

Bilateral MOUs

10.2.5 In the bilateral MOU area, there are unique particularities that are served by some MOUs. Under Canada's Export and Import Permits Act , the act by which the Department of Foreign Affairs and International Trade (DFAIT) governs all imports and exports of restricted items, the export of any and all automatic weapons are forbidden unless the receiving country is listed in 'Canadas Automatic Firearms Country Control List . This list, controlled by DFAIT, is amended through Orders-In-Council. Countries are only eligible to be put on this list if there exists a bilateral defence-related MOU between Canada and that country. The underlying logic is based on the premise that Canada (DND/CF, on occasion) would not enter into such an MOU unless the intended party were one in which we had the highest degree of confidence.

Therefore, occasions do arise when such MOUs not only establish a bilateral framework for materiel co-operative activities, but they serve to permit the legal export of automatic firearms.

MOU Considerations

10.2.6 MOU provisions shall pay particular attention to:

- the description of the scope of the project and its performance. cost and time objectives, including appropriate references to existing agreements or documents which may impact on the scope or interpretation of the MOU
- the responsibilities and commitments of each party to the project with due regard to the protection of intellectual property and classified or designated material used in, exchanged or produced under the project
- the description of the managerial arrangements including the identification of the project team leader and program manager responsible. on behalf of DND/CF, for meeting the agreed Canadian commitments at each phase of the project
- the conditions for the review, amendment of, party withdrawal from, and termination/closing out of the project

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Review of MOUs

10.2.7 Each draft shall be reviewed by the following authorities within the DND/CF: DLAWI/MOU Coord, DND/CFLA MERPL, DGIIP, ADM(Pol), DIP, D Fin OPS, as well as other directorates/divisions having a substantive interest in the subject matter. Response to drafts should be coordinated with DND/CF staffs prior to disclosure to the other participants. In addition, the Allied Acquisition Practices Publication

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MOU Commitments

10.2.8 Once approved, MOUs place a responsibility on the DND/CF to satisfy whatever commitments are contained therein. Accordingly, it is essential that a clear understanding of the accountabilities is developed, and understood, to ensure that the responsibilities that have been accepted in a project are managed in accordance with the DMS. Normally, the DND/CF aspects of an international project are managed under the guidance of a Senior Review Board, supported by dedicated staff in a project office. Alternatively, more informal structures that draw from the expertise resident in the DND/CF matrix can and have been used successfully.

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Chapter 10, Part 3 - The Defence Industry and International Materiel Cooperation

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ADM (Mat) role

10.3.1 The defence industrial base plays an integral part in providing assured support upon which the DND/CF relies. In some instances the collapse of an industrial stakeholder will seriously impede the DND/CF's ability to meet operational requirements.

Procurement is one of the main support mechanisms available to the DND/CF for developing and maintaining the defence industrial base. Procurement dollars spent on international projects and programs involving Canadian industry have the potential to be leveraged to meet national Canadian objectives:

- to develop and maintain the industries needed to support operational requirements
- to pursue other national objectives designed to enhance Canada's international competitive, social and economic standing

Another support mechanism available to DND for the development and maintenance of the defence industrial base is the negotiations by DGIIP of loans and/or demonstrations of DND equipment to potential foreign customers, in order to generate interest for a possible international cooperation project.

Defence Industry Policy

10.3.2 The DND/CF industry policy statement can be found at the following address: http://admmat.dwan.dnd.ca/dgiip/policypaper.htm

When international materiel cooperation talks, projects and programs are pursued, the objectives of and the advantages to Canadian industry should be borne in mind. At the same time it should be recognized that there is a great deal of political sensitivity with respect to industrial involvement in international co-operative projects. The strategy and tactics being pursued need to be considered carefully in order to not, inadvertently, create other difficulties will pursuing industrial objectives. In our more established relationships, DND/CF has solid experience in introducing industry-related interventions in an effective and balanced fashion.

Success in International Cooperation

10.3.3 The success of an international co-operative endeavour can be assessed on the basis of both non-quantitative and quantitative criteria. As a rule of thumb, an international effort has a greater chance of support, approval and success if there is a demonstrable link to either the savings the DND/CF will achieve from the co-operative effort or to improved effectiveness and efficiency of the DND/CF. Savings can take many forms, for example:

- a direct resource cost reduction (*less money, fewer people, less time/effort to develop, etc.*) to the DND/CF
- a deferred direct cost to the DND/CF
- an implicit (or indirect) cost reduction to the DND/CF such as if Canadian industry wins an international project and overhead is spread across a greater number of production units for a specific piece of Capital Equipment or in the case of royalties paid to the DND/CF on the sale of items to third parties (e.g. Advanced Phased Array Radar (APAR) project)
- a reduced need to spend intellectual capital (shared policy, doctrinal, training development)

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Chapter 10, Part 4 - Cooperation with the United States

Overview

10.4.1 Since World War II, an extensive, formalized pattern of defence materiel cooperation has developed between Canada and the United States (U.S.). Current arrangements cover such areas as research development and testing, air defence, defence production and trade, communications, logistics, operations, search and rescue and information sharing.

Not surprisingly, co-operative activities with the U.S. Department of Defense (DoD) are extensive and complex. DGIIP's U.S. function is multifaceted with activities ranging from the management of the bilateral materiel relationship at the policy level through to the negotiation of Memoranda of Understanding and the development of co-operative projects with the U.S. DoD.

Dealing with the U.S. Department of Defense

10.4.2 DND/CF personnel should consult with the DGIIP U.S. Team when directly or indirectly dealing with the U.S. DoD:

- for advice/assistance in negotiating Memoranda of Understanding or loans of CF equipment with Office of the Secretary of Defense or any of the U.S. services. DGIIP will lead such negotiations on behalf of the DND/CF
- for advice/assistance in identifying existing mechanisms of cooperation with the U.S. DoD. Often agreements already exist with the U.S. that will facilitate cooperation between the DND/CF and U.S. DoD. Do not negotiate a new agreement when an existing agreement will suffice
- where DND/CF participation is sought in the following bilateral programs:
  - Canada-United States Test and Evaluation Program (CANUSTEP)
  - Master Data Exchange Agreement (MDEA)
  - Joint Certification Program (JCP)
  - Defence Development Sharing Agreement (DDSA)
  - ABCANZ multilateral information exchange MOU
  - the North American technology and industrial activities MOU
- for advice/assistance on U.S. export control issues such as the International Traffic in Arms Regulations (ITAR) DGIIP is the departmental OPI for dealings with the U.S. DoD and Department of State on export controls. As such, DND/CF personnel should deal through DGIIP on the area of export controls with the U.S. Government

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Chapter 10, Part 5 - Cooperation with NATO

Conference of National Armaments Directors

10.5.1 The rationale that led to the creation of the Conference of National Armaments Directors (CNAD), the lead organization for armaments cooperation in NATO continues to be valid. Reduced defence budgets, rapidly changing requirements, commercial technology and new acquisition methods are all arguments which support a senior level body with a mandate to foster international armaments cooperation activities, as well as to improve mechanisms for cooperation in research, development and production.

CNAD Co-operative Armaments Projects

10.5.2 The following factors should be kept in mind when evaluating potential Canadian participation in CNAD co-operative armaments projects:

- the relationship to a requirement currently identified in business plans
- the potential to improve the level of interoperability between NATO military forces that may operate together in a coalition operation
- the funding status of a program either in the DSP or LTCP
- Canadian industrial capabilities in a particular field and the potential opportunities for these Canadian products in the export market
- the potential for reducing costs either in the R&D, production or in-service phases of a program
- estimated socio-economic as well as political benefits that would result from Canadian participation in a co-operative program

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Conventional Armaments Planning

10.5.3 Conventional Armaments Planning in NATO is managed by the Conference of National Armaments Directors. The primary objective is to provide orientation to nations on how the military requirements of the alliance can best be met by armaments programmes, individually and collectively. It is also a mechanism developed so that nations can harmonize long-term defence procurement plans and identify future opportunities for armaments cooperation on an alliance-wide basis. The CNAD has also established the NATO Committee on Armaments Coordination to promote more efficiency and to streamline the myriad of planning processes that currently exist in NATO. One of the main tools being developed to support this coordination function is the Armaments Information Management System (AIMS). This database is intended to assist in identifying co-operative opportunities between and among NATO nations. The information contained in this database will be acquired via the NATO Armaments Planning Questionnaire.

DGIIP is the OPI for the coordination of Armaments Planning Questionnaire, with inputs being provided from DLR, DAR, DMMPD, DDA, DESA and ILO/ADM(IM).

NATO Committee on Armaments Coordination

10.5.4 Under the authority of the CNAD, the NATO Committee on Armaments Coordination is tasked to co-ordinate activities in the following areas:

- requirements harmonization
- assisting in the improvement of operational interoperability
- armaments procurement including consolidated acquisition
- information exchange
- leveraging of defence technology and industrial resources

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Chapter 10, Part 6 - Cooperation with NATO - Phased Armaments Programming System

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Introduction

10.6.1 NATO has employed a number of different procedural mechanisms to foster armaments cooperation among its member nations. Over time many of these procedures have been discarded as no longer relevant. However, it would be useful to remain aware of the Phased Armaments Programming System (PAPS) insofar as it continues to have some currency among the NATO member nations. It is designed to provide a structured approach to aid decision-making in co-operative research and development and production projects within NATO.

A major thrust of PAPS is the initiation of cooperation before national projects have progressed to the point where commitments to particular solutions would not allow international cooperation. Its point of departure is a military requirement described as a Mission Need which is a statement of a quantitative or qualitative operational deficiency which cannot be solved satisfactorily with existing or planned forces and/or equipment.

These Mission Needs can be submitted either by a nation or by the Major NATO Commanders. The needs are then examined by CNAD bodies (Main Armament Groups) for their co-operative potential. Throughout project evolution, the CNAD bodies will endeavour to harmonize the military requirement and convert it into a detailed technical requirement which will satisfy the particular military need within the framework of a co-operative venture.

PAPS/DMS Interface

10.6.2 The interface between the PAPS process and the processes of other countries, including the Canadian DMS, plays an important part in the management of an international project, particularly during the early evolutionary stages. However, unlike the DMS, the NATO PAPS process is not a resource allocation system but rather a management tool employed to foster international cooperation.

A series of definitions that describe each phase of the PAPS process is presented in Annex A. In order to understand the impact of these phases on national decision-making and resource allocation procedures, staff should be aware of the various phases of the PAPS process.

Synopsis Sheet

10.6.3 The PAPS procedures govern the planning process only up to the end of the feasibility stage, which results in the approval and publication of a NATO Staff Requirement (NSR). The project then comes under more direct control of the participating nations who collectively decide on the method to use to pursue the project Definition Phase. At this point project staffs must have a project Synopsis Sheet in readiness to ensure resource implications of the follow-on project Option Analysis/Definition/ Implementation phases are properly identified.

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Chapter 10, Part 7 - Cooperation with NATO – International Joint Development Programs

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International Joint Development Programs

10.7.1 Canada, through the DND/CF, has participated in the past in a large number of development programs, loosely termed International Joint Development Programs. These programs have been R&D, development, or production type activities. While this mechanism has fallen into disuse as a formal co-operative mechanism, it is still available as an option to pursue certain activities. In general terms, International Joint Development Programs are managed by an international PMO located in the agreed host nation, consisting of personnel provided by the participating nations.

Special Features

10.7.2 The following are special features of International Joint Development Programs:

- participation, including cost-sharing, is governed by an international MOU whereby the dispute resolution mechanism is governed by consultation between the participants
- direction and management of the project is conducted by international committees
- ownership of the intellectual and other property is negotiated on a project by project basis
- in the absence of a specific provision in the governing MOU, contracting to industry is normally done through the project office under the laws of the lead or host nation

Note: International Joint Development Programs projects require funding from the participating nations on an annual basis. The funds are used to pay whatever bills or obligations incurred by the project office on behalf of the participating nations. It is therefore important to clearly identify that the financial impact of participation is over a number of years.

Guidlines

10.7.3 International MOUs prepared in support of DND/CF participation in projects of this sort should include, but not be limited to the following:

- a general description of the project
- a description of the international project management organization, including Canadian membership and representation in the international PMO
- the defined limits on the commitment of resources required from each participating nation
- a description of the international systems to be established for the control, review and administration of the project's resources

- a description of the contracting process and the delineation of contracting responsibilities
- the effective date and duration
- the right of Canada to withdraw at the end of any phase with either no cost penalty or with a specifically identified cost penalty
- a general description of how the participation of nations' industries will be arranged and managed
- a provision that wherever possible, in compliance with existing Canadian Government policy, new intellectual property generated by Canadian industries shall be owned by the Government of Canada
- a provision that disputes among the participants relating to the interpretation or application of the MOU shall be resolved by consultation among the participants and not be referred to any court or tribunal

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Guidance Manual for Co-operative Program Arrangements

10.7.3 The above points are relevant for all MOUs being considered for negotiation not just those covering NATO activities. In addition to the above, NATO has published a Guidance Manual for Co-operative Program Arrangements, available from COS(Mat). This document is a compilation of sample clauses which have proven to be of great assistance in the earliest days of an international program, particularly those that involve nations who are also a member of NATO. While staff are unlikely to become involved in an activity described as an International Joint Development Program, the understanding of the steps explicit in the above descriptions will continue to be relevant.

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Phased Armaments Programming System (PAPS) Definitions

Mission Analysis	A process to determine the operational capabilities of military forces that are required to carry out assigned missions, roles and tasks, in the face of the existing and/or postulated threat with an acceptable degree of risk. Having ascertained the quality and quantity of the military forces required, a comparative assessment is made between those available and those required in order to identify the qualitative and quantitative deficiencies which may be related to the element of risk involved.
Mission Need Document (MND)	A statement based on a mission analysis identifying in broad outline a quantitative or qualitative operational deficiency that cannot be solved satisfactorily with existing or planned forces and/or equipment.
Mission Need Evaluation	An assessment by the International Staff (IS), in conjunction with the preparing authority of the MND, to determine the prospects of meeting the need by means other than materiel development (e.g. better training, change in doctrine and/or operational procedures, etc). Based on the assessment the Director IMS will advise the Chairman of the Conference of National Armaments Directors (CNAD) on further CNAD processing of the MND as appropriate.
Outline NATO Staff Target (ONST)	A very broad outline of the function and desired performances of a new weapon or equipment to satisfy a mission need, before the possibilities of achievement and the financial aspects have been examined. This approved document contains operational characteristics, details of the threat, desired capability and a general indication of scope in particular and broad cost parameters whenever possible. Sufficient detail is given to enable prefeasibility studies to be carried out.
Prefeasibility Study	A prefeasibility study indicates whether or not the ONST merits a deeper feasibility study. It is conducted either by industry and/or government agencies or by NATO Industrial Advisory Group (NIAG). Its aim is to examine the proposal, assess the trade-off points and make a broad assessment of the practicable alternatives and also the penalties involved in adopting certain courses of action. This study should, so far as possible, establish the feasibility of suitable solutions consistent with the time-table of needs. The study will result in the establishment of a NATO staff target.

NATO Staff Target	A broad outline of the function and desired performance of new equipment or weapons systems, before the feasibility or method of meeting the requirement, or other implications have been fully assessed. Based upon the findings of any feasibility studies, the NATO staff target lists in greater detail operational characteristics and certain technical specifications which are desired and which have been shown to be broadly feasible. It may also contain broad cost parameters when required. This document is used as a basis for the request for proposals from industry for a feasibility study of "candidate" system solutions.
Feasibility Study	A feasibility study is carried out by industry or government agencies or a combination of both with the object of providing a technical appraisal of the feasibility of developing and producing an equipment with the performance required by the NATO staff target. The study identifies areas of technical risk, recommends characteristics of the systems and gives the optimum balance between performance, cost and development time. The study also indicates areas where considerable advances on the existing state of knowledge are likely to prove necessary for successful development. It indicates the means by which the recommended solution will be achieved, suggests a program for project definition, development and production, with a preliminary estimate of the costs for these stages and must result in the establishment of a NATO Staff Requirement (NSR).
NATO Staff Requirement (NSR)	A detailed statement of the required design parameters and operational performance of the equipment or weapon systems. This document represents the specification of the system upon which project definition is based.
Project Definition	The process of exploring more thoroughly all aspects of the proposed project and of examining especially the relations between required performances, development time and cost. The areas of technical uncertainty are examined and possible trade-offs are worked out in order to achieve a satisfactory balance between performance, development time and cost. These trade-offs may lead to amending the operational requirement. From then on, performance requirements and detailed requirements regarding the technical characteristics are established so as to meet the operational requirement under the best conditions. These requirements will form the basis of a development program and of more detailed and realistic estimates of development time and cost. The overall results of the studies carried out during project definition will be used for the discussion as to whether or not to proceed with the development.
NATO Design/ Development Objective (NADDO)	An outline statement which covers the evaluation of design proposals in relation to the user requirement, the statement of agreed characteristics, and the design and technical requirement specifications. It includes, as far as possible, demonstrated achievement of stated requirements and objectives for the future, aimed at ensuring full system integration.

Design and Development	The phase of an equipment program which calls for design engineering work aimed at full validation of the technical approach and ensures complete system integration to the point where production contract action can be taken.
NATO Production Objective (NAPO)	An outline statement of the manufacturing process, personnel and facilities required for production of the equipment, including an outline production program based on cost plans, quality control requirements, and the stated production specifications.
Production	Manufacture of a system, sub-system or equipment in a plant or factory using series manufacturing techniques.
NATO In-service Goals (NISEG	A statement of general utilization intentions for equipment including reference to national or cooperative logistic and training arrangements.
In-service	The operational utilization of equipment by nations.
National Disengagement Intention (NADI)	A statement of a decision to withdraw equipment from operational utilization, including forecast dates, quantities and other relevant information such as age, condition of equipment, and availability of spare parts.
NATO Armaments Planning Review (NAPR)	The NAPR is a feedback review process which assists nations in the following ways: • to identify priority areas where national equipment replacement plans could (or should) be harmonized or where nations are diverging from standardization or interoperability • to assess progress under PAPS, especially as more PAPS and CNAD Main Group data are included in the NAPR data base • to monitor programs which are important to the Alliance but are not common projects. In cases where standardization/interoperability is either not possible or not militarily important, NAPR can aid an assessment of the resultant implications

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Accountability • The obligation to demonstrate and take responsibility for performance in light of agreed expectations. There is a difference between responsibility and accountability – responsibility is the obligation to act whereas accountability is the obligation to answer for an action. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Responsabilisation** • Obligation de démontrer et d'assumer ses responsabilités de rendement en fonction d'attentes convenues. Ce concept diffère de la responsabilité, qui est l'obligation d'agir, alors que la responsabilisation est l'obligation de répondre d'une action. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
Accountability Framework • Defines the nature and scope of a department's responsibilities, the results it expects to achieve, and the monitoring and reporting requirements through which the Department will answer for the authority vested in it. The Planning, Reporting and Accountability Structure (PRAS) is the Federal Government's accountability framework. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Cadre de responsabilisation** • Définit la nature et la portée des responsabilités d'un ministère, les résultats escomptés ainsi que les exigences en matière de surveillance et de rapport au regard desquelles le ministère rend compte des pouvoirs dont il est investi. Le Cadre de planification, de rapport et de responsabilisation est le cadre de responsabilisation du gouvernement fédéral. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Activity • An operation or work process internal to an organisation, intended to produce specific outputs (e.g. products or services). Activities are the primary means through which outcomes are achieved. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Activité** • Opération ou démarche exécutée par une organisation et destinée à produire des extrants précis (p. ex., des produits ou services). Les activités sont les principaux moyens vers l'atteinte des résultats. ○ *Conseil du Trésor Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
Advanced Training List (ATL) • These are established positions to which military personnel may be posted for a period greater than 122 training days to acquire training. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**effectifs en formation avancée** (EFA) • Il s'agit de postes établis auxquels les militaires peuvent être affectés pendant une période de plus de 122 jours aux fins d'instruction. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Aid of the Civil Power (ACP) • CF assistance provided at the request of an Attorney General of a Province or Territory in any case in which a riot or disturbance of the peace occurs or is considered likely to occur and which is beyond the powers of civil authorities to suppress. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Aide au pouvoir civil** (APC) • Assistance fournie par les Forces canadiennes, suite à une demande formulée par le procureur général d'une province ou d'un territoire, en cas d'émeutes ou de troubles réels ou jugés imminents et que les autorités civiles sont impuissantes à réprimer. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Annual Review • A review which involves the preparation and presentation of information that the Minister believes is needed by fellow Cabinet members. The review includes all new Major Crown Projects and any project decision points that are expected to come before Cabinet for approval in the upcoming year.	**revue annuelle** • La préparation et la présentation de renseignements qui, aux yeux du Ministre, seront utiles aux autres membres du Cabinet. La revue comprend des renseignements sur tous les nouveaux grands projets de l'État et les points décisionnels associés aux projets prévus pour l'exercice suivant.
Apportioned Account • A corporate account that is notionally divided (apportioned) between Level One Advisors in order to acquire similar natures of goods and/or services. The "custodian" Level One Advisor administers the apportioned corporate account on behalf of the Department and is responsible for the expenditure of the allocation. Consuming Level One Advisors have the flexibility to plan, prioritize and negotiate trade-offs (program adjustments) both within their apportionment and between their apportionment and operating budget accounts subject to concurrence of the account "custodian" and formal approvals as dictated in the DMS Manual. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**Compte réparti** • Compte ministériel qui est théoriquement divisé (réparti) entre les conseillers de niveau un afin d'acquérir des biens et/ou des services de nature semblable. Le conseiller de niveau un qui est désigné comme « gardien » administre le compte réparti au nom du Ministère et est responsable de la façon dont l'affectation est dépensée. Les conseillers consommateurs de niveau un ont la possibilité de planifier, de placer par ordre de priorité et de négocier des échanges (ajustements de programme) tant dans les limites de la part du compte qui leur est allouée qu'entre cette part et les comptes du budget de fonctionnement, sous réserve de l'accord du « gardien » du compte et des approbations officielles exigées dans le Manuel du SGD. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
apportionment • Apportionment refers to corporate accounts which are centrally administered but divided into levels of service provided to consumer Level One Managers, expressed in dollar terms. Level One Managers have the flexibility to plan, prioritize and negotiate trade-offs within their apportioned and operating accounts. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**répartition** • La répartition renvoie aux comptes ministériels soumis à une gestion centralisée mais divisés en niveaux de service offerts aux gestionnaires de premier échelon (exprimée en dollars). Les gestionnaires de premier échelon ont la possibilité de planifier, d'établir des priorités et de négocier des échanges en respectant leurs comptes de fonctionnement et leurs comptes répartis. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
appropriation • Any authority of Parliament to pay money out of the Consolidated Revenue Fund. (see "vote") ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**crédit** • Toute autorisation du Parlement à payer une somme d'argent sur le Trésor. (voir l'autre entrée pour le mot « crédit ») ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
associated costs • Those costs incurred before, during or after project implementation but which are not normally included as an integral part of total project cost.	**frais connexes** • Dépenses engagées avant, pendant ou après la mise en oeuvre d'un projet, mais qui ne sont normalement pas intégrées au coût total de ce dernier.

assured source

- A source of supply of essential defence materiel, services and/or technical capability for which preplanned arrangements have been made to meet national defence requirements.
  - *Directorate of Defence Industrial Resources, Handbook for Industrial Preparedness Planning, 1989 (Draft)*

source d'approvisionnement garantie

- Source qui fournit des produits, des services ou des moyens techniques essentiels à la défense, conformément à des ententes préétablies visant à répondre aux besoins de défense nationale.
  - *Direction des ressources industrielles de la défense, Handbook for Industrial Preparedness Planning, 1989 (ébauche)*

Asymmetric Threats

- An attempt by an opposing party to avoid the traditional strengths of our existing military force by employing unexpected or unusual techniques to gain an advantage. This can include the use of surprise in all its operational and strategic dimensions, as well as the use of weapons in ways not expected by the Canadian Forces. Three broad approaches that potential opponents of the CF might employ to gain an asymmetric advantage are to use weapons of mass destruction, cyber-warfare, or choosing to fight only in complex terrain.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Menaces asymétriques

- Tentative d'une partie opposée de déjouer les atouts traditionnels de notre force militaire actuelle en employant des techniques inattendues ou inhabituelles pour obtenir un avantage. Cela peut englober le recours à la surprise dans toutes ses dimensions opérationnelles et stratégiques, ainsi que l'utilisation d'armes de manières auxquelles les Forces canadiennes ne s'attendent pas. Trois grandes approches que les adversaires potentiels des FC pourraient employer pour obtenir un avantage asymétrique sont le recours aux armes de destruction massive, la guerre de l'information et le choix de combattre seulement en terrain complexe.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Attribution

- The assertion that certain events or conditions were, to some extent, caused or influenced by other events or conditions. This means a reasonable connection can be made between a specific outcome and the actions and outputs of a policy, program or initiative.
  - *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*

Attribution

- Assertion voulant que des événements ou des conditions peuvent, dans une certaine mesure, être causés ou influencés par d'autres événements ou conditions. Cela signifie qu'il est possible d'établir un lien raisonnable entre un résultat particulier et les activités et extrants d'une politique, d'un programme ou d'une initiative.
  - *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*

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Basic Training List (BTL) • These are positions to which military personnel may be posted to acquire initial occupation qualification training. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**effectifs en formation élémentaire** (EFE) • Il s'agit de postes auxquels les militaires peuvent être affectés en vue d'acquérir des compétences professionnelles initiales. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
budget year estimate • This is an estimate based on costs arising in each FY of the project schedule. It is escalated to account for inflation and other economic factors affecting the period covered by the estimate. It is also called the current dollar estimate. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**estimation de l'année budgétaire** • Cette estimation repose sur les coûts afférents à chacun des exercices financiers du calendrier du projet. Elle est majorée en fonction de l'inflation et d'autres facteurs économiques ayant une incidence sur la période visée. On l'appelle aussi « estimation en dollars courants ». ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
budgeting • The process of determining the financial and other resources required to carry out plans, and the control of these resources after their approval by Treasury Board and Parliament.	**budgétisation** • Détermination des ressources, financières et autres, nécessaires à la réalisation d'un programme ainsi que le contrôle de ces ressources une fois qu'elles ont été approuvées par le Conseil du Trésor et le Parlement.
budget-year dollars • Dollars which express the cost of items in terms of the year in which the expenditures will occur. Budget-year dollars, therefore, are "inflated" or "current dollars" as opposed to "deflated" or "constant dollars" stated in relation to a base year. NOTE: The terms, "Spending Year", "Current Year", "Then Year" or "Escalated" dollars have the same meaning but are not used in the Defence Management System context. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**dollars courants** • Unité de coût des postes budgétaires exprimés en fonction de l'année au cours de laquelle la dépense aura lieu. Les dollars courants sont donc des « dollars indexés » (c'est-à-dire qu'ils tiennent compte de l'inflation), par opposition à des « dollars constants » (qui n'en tiennent pas compte), dont la valeur est celle du dollar d'une année particulière servant de point de référence. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

- Costs in budget-year dollars reflect the purchasing power of the dollar in the year the cost is incurred. Sometimes referred to as future dollars.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

business case

- This is a methodology for the identification, justification and selection of information technology projects that relates information technology strategies and plans to program priorities and the measurable improvements in program performance.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

Business Plan (BP)

- Identifies an organization's objectives, its strategies to achieve those objectives (given the environment in which the organization exists and the needs of its clients), the performance measures it will use to measure progress and to meet its performance goals (i.e., commitments and targets). The Business Plan responds to Key Result Expectations by setting Output Levels within the constraints of the DPG. They are also the primary vehicle for vertical accountability.

- Identifies an organization's objectives, its strategies to achieve those objectives (given the environment in which the organization exists and the needs of its clients), the performance measures it will use to measure progress and to meet its performance goals (i.e., commitments and targets). The Business Plan responds to Defence Tasks and corporate priorities within the constraints of planned resource levels articulated annually in the Defence Plan. It is also the primary vehicle for vertical accountability.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

- Les coûts exprimés en dollars courants reflètent le pouvoir d'achat du dollar pendant l'année où la dépense est faite. Ils sont parfois désignés « dollars à terme ».
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

analyse de rentabilisation

- Méthodologie consistant à déterminer, à justifier et à sélectionner des projets de technologie de l'information et à relier les plans et stratégies de technologie de l'information aux priorités des programmes et à l'amélioration mesurable du rendement des programmes.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

plan d'activites (PA)

- Indique les objectifs d'une organisation, ses stratégies en vue de les atteindre (compte tenu de son environnement et des besoins de sa clientèle), les mesures de rendement qu'elle utilisera pour évaluer le progrès accompli et atteindre ses objectifs de rendement (c'est-à-dire ses engagements et buts visés). Le plan d'activités répond aux attentes à l'égard des résultats clés en fixant des niveaux d'extrants qui respectent les contraintes du GPD. Il est aussi l'outil principal pour assurer la responsabilisation verticale.

- Définit les objectifs d'une organisation, les stratégies visant à les atteindre (compte tenu du contexte dans lequel évolue l'organisation et des besoins de ses clients), les critères dont elle se servira pour mesurer ses progrès et atteindre ses objectifs de rendement (c.-à-d. les engagements et les échéanciers). Le plan d'activités répond aux tâches de défense et aux priorités ministérielles dans les limites des niveaux de ressources qui sont prévus chaque année dans le Plan de la Défense. Il constitue par ailleurs le principal moyen d'assurer la responsabilisation verticale.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

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Canadian Joint Task List (CJTL) • Establishes a framework for describing, and relating, the myriad types of capabilities that may be required, to greater or lesser degrees, by the CF. It provides a common "language" for CF/DND force development within the context of force planning scenarios.	**Liste canadienne de tâches interarmées** (LCTI) • Ce document sert à établir un cadre de travail permettant de décrire les innombrables types de capacités qui peuvent être nécessaires, à un degré ou à un autre, aux FC. Cette liste permet d'établir un « langage » commun en ce qui a trait au développement des forces du MDN et des FC, dans le contexte des scénarios de planification des forces.
capability • Capability is a function of the ability of a force to preplan a mission and its capacity to do so. It is generally a function of force structure (organization and equipment) plus training and logistic support. Capability may be defined as the ability to deal with the risks identified in the scenario associated with a Defence Mission Objective or the risks associated with actual operations. It includes the availability of personnel and materiel as well as a quantitative and qualitative assessment. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**capacité** • La capacité est une fonction de la possibilité pour une force de planifier à l'avance une mission et de la réaliser. Il s'agit en général d'une fonction de structure des forces (organisation et matériel) renforcée de l'instruction et du soutien logistique. Elle peut se définir comme la capacité de confronter les risques définis dans le scénario qui se rapporte à un objectif de mission de défense, ou les risques associés à des opérations réelles. Elle englobe la disponibilité du personnel et du matériel ainsi qu'une évaluation pondérée et qualitative. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
capability requirement • Capability required by the Canadian Forces to meet Defence Policy, Defence Objectives, and Defence Commitments.	**besoin en capacité** • Capacité exigée par les Forces canadiennes pour répondre à la politique et aux objectifs de la Défense, ainsi qu'aux engagements de la Défense.
capital assets • Assets, whether tangible or intangible, that are durable in nature and have a useful or economic life that extends beyond one year. Such tangible and intangible assets are material in value and include land, buildings, engineering structures and works (such as canals, harbours and roads), machinery, furnishings, equipment, vessels, vehicles, and software. Capital assets are either owned or acquired through purchase. Also included are capital assets, leases or rental agreements that transfer the rights and obligations of ownership to the Crown. For real property, the asset includes any right, interest or benefit in land, and includes mines, minerals and improvements	**immobilisations** • Biens corporels ou incorporels qui sont de nature durable et qui ont une vie utile ou économique qui dépasse un an. Ces biens corporels ou incorporels ont une valeur matérielle et ils comprennent la terre, les bâtiments, les structures et les ouvrages techniques (tels que les canaux, ports et routes), la machinerie, le mobilier, l'équipement, les navires, les véhicules et les logiciels. Les immobilisations sont possédées ou acquises par achat. Sont également inclus dans les immobilisations, les baux ou les accords de location qui transfèrent les droits et les obligations de propriété à l'État. En ce qui concerne les biens immobiliers, les immobilisations

on, above or below the surface of the land. Capital assets exclude inventories consisting of physical assets that are either held for issue or whose economic benefit is consumed over a short period of time after they are brought into use, as well as spare parts and consumable items.

- *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

comprennent les droits, l'intérêt ou les avantages rattachés à la terre ainsi que les mines, les minéraux et les améliorations au-dessus du sol, en surface du sol ou dans le sous-sol. Les immobilisations ne comprennent pas les stocks de biens matériels qui sont détenus à des fins de distribution ou dont l'avantage écibinuqye est comsommé sur une courte

- *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

capital equipment plan

- That portion of the Capital Program containing those equipment projects that progress through tne RPP/DP/Business Plan cycle and are outlined in the five-year Long Term Capital Plan. There are three categories of Capital Equipment: Strategic Capital, Non-strategic Capital and Miscellaneous Requirements.
  - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

plan des biens d'équipement (plan d'immobilisations)

- Partie du programme d'immobilisations contenant les projets d'équipement qui s'échelonnent tout au long du cycle du RPP/PD/plan d'activités et qui sont exposés dans le Plan d'immobilisations à long terme (cinq ans). Il y a trois catégories de biens d'investissements : les immobilisations stratégiques, les immobilisations non stratégiques et les besoins divers.
  - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

capital expenditures

- All expenditures made to acquire or improve capital assets. Acquisition includes the design, development, construction or purchase of capital assets. Also included are capital leases or rental agreements (eg, that transfer the rights and obligations of ownership to the Crown). Improvements include any alterations or renovations that significantly increase the performance, value or capability of a capital asset or extend its useful or economic life by more than a year. For purposes of the policy on the Long Term Capital Plan, capital expenditures refer to controlled capital expenditures as determined under the Operating Budget regime or the capital input factor or the capital reference level used in preparing Business Plans.

dépenses en capital

- Toutes les dépenses faites pour acquérir ou améliorer des biens immobilisés. L'acquisition comprend la conception, l'élaboration, la construction ou l'achat de biens immobilisés. Sont également inclus les contrats de location-acquisition et les contrats de location (qui, par exemple, transfèrent les droits et les obligations de propriété à la Couronne). Les améliorations comprennent les modifications ou les rénovations qui augmentent de façon importante le rendement, la valeur ou la capacité d'un bien immobilisé ou qui étendent sa vie utile ou économique au-delà d'un an. Aux fins de la politique sur les plans d'investissement à long terme, les dépenses en capital désignent les dépenses en capital contrôlées (telles qu'établies dans le cadre du régime des budgets opérationnels), la charge en capital ou le niveau de référence des dépenses en capital servant à l'établissement des plans d'activités.

capital program

- That portion of the Defence Services Program containing approved capital projects judged to be affordable. The four components of the Capital Program are: Capital Equipment, Capital Construction, Miscellaneous Requirements and Other Capital.
  - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

programme d'immobilisations

- Partie du Programme des services de la Défense comprenant les projets d'immobilisations approuvés que l'on estime financièrement réalisables. Les quatre éléments du programme d'immobilisations sont les suivants : les biens d'investissements, la construction d'installations permanentes, les besoins divers et les autres immobilisations.
  - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

capital project

- A project specifically intended to acquire or improve a capital asset. Acquisition of a capital asset refers to obtaining the use of that asset over the long term, irrespective of whether the method of acquisition is construction, purchase, lease/purchase or lease. A project to improve a capital asset is considered to be a capital project when the performance, value or capability of that asset is significantly increased or its useful or economic life is extended by more than one year.

projet d'investissement

- Projet portant précisément sur l'acquisition ou l'amélioration d'une immobilisation. Par acquisition, on entend l'obtention du droit d'utiliser l'immobilisation sur une longue période, peu importe la méthode d'acquisition choisie (construction, achat, location-acquisition ou bail). Les améliorations apportées à une immobilisation sont considérées comme des projets d'investissement si elles contribuent à augmenter sensiblement le rendement, la valeur ou la capacité de l'immobilisation ou si elles

  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

prolongent sa vie utile ou sa vie économique de plus d'un an.

  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

cash management

- Cash management relates to "real" dollars (i.e. dollars attached to an expenditure authority) as opposed to "planning" dollars. Accordingly it incorporates all those activities required to achieve a zero variance at fiscal year-end. To manage properly, accommodation must be made for delays and natural slippage in the delivery of approved projects. Consequently, the cash management strategy used for the corporate capital equipment account relies on a level of over-programming, so that enough project activities are available for execution should slippage occur.
  - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Gestion de la trésorerie

- La gestion de la trésorerie porte sur des dollars « réels » (c.-à-d. des dollars associés à une autorisation de dépenser), par opposition à des dollars « prévus ». Ainsi, elle incorpore toutes les activités requises pour s'assurer d'un écart nul à la fin de l'exercice financier. Pour gérer adéquatement, il faut prévoir les retards et les décalages normaux dans l'exécution des projets approuvés. Par conséquent, la stratégie de gestion de la trésorerie utilisée pour le compte ministériel des biens d'investissement a recours à une programmation majorée, afin qu'il y ait assez d'activités de projet à exécuter en cas de décalage.
  - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

civilian personnel cost

- One of the four components of personnel, operations and maintenance cost. This cost comprises the aggregate of the standard cost applicable to civilian personnel, including pay, allowances, government contributions, benefits, movements, travel and recoveries.

coût du personnel civil

- L'un des quatre éléments des coûts liés au poste du Personnel, fonctionnement et entretien. Il s'agit de l'ensemble des coûts standard relatifs au personnel civil, y compris les salaires, les indemnités, les contributions gouvernementales, les avantages sociaux, les frais de déplacement, les voyages et les recouvrements.

Combat Service Support

- The support provided to combat forces, primarily in the fields of administration and logistics.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Soutien au combat

- Soutien fourni aux forces de combat principalement dans les domaines de l'administration et de la logistique.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Combat-capable

- The state of a force structure and associated equipment that reflects the ability to execute a combat mission.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Apte au combat

- État d'une structure de forces et du matériel connexe, qui traduit la capacité d'exécuter une mission de combat.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Combined

- An adjective that connotes activities, operations, organizations, etc between two or more forces or agencies of two or more allies. See also joint.
  - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

Interalliés

- Adjectif qui dénote les activités, opérations, organisations, etc. entre deux ou plusieurs forces ou organismes de deux ou de plusieurs alliés. Voir aussi interarmées
  - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

Command and Control (C2)

- The activities, outputs, infrastructure, materiel and personnel to: direct, coordinate and control the generation and employment of forces; to provide and respond to strategic and operational guidance (doctrine and direction) and policy.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

commandement et contrôle (C2)

- Activités, extrants, infrastructure, matériel et personnel destinés à : diriger, coordonner et contrôler la mise sur pied et l'emploi des forces; fournir la politique et les directives stratégiques et opérationnelles (doctrine et orientation) et y répondre.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

commissioning

- This is the formal handover of operational responsibility and maintenance responsibility for the end-product of the project from the project manager to the departmental operational and maintenance authorities, respectively. The commissioning documents normally include an agreed listing of operational and maintenance deficiencies, together with an agreed plan for clearing up these deficiencies.
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

mise en service

- Il s'agit du transfert officiel de la responsabilité du fonctionnement et de celle de l'entretien du produit final du projet du gestionnaire de projet aux autorités responsables du fonctionnement et de l'entretien du Ministère, respectivement. Les documents de mise en service comprennent normalement une liste convenue des travaux à compléter sur les plans du fonctionnement et de l'entretien ainsi qu'un plan convenu de liquidation de ces travaux.
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

commitment document

- A document that makes the government liable for a future payment for goods or services to be received; a commitment results in a simultaneous encumbrance against the free balance to ensure availability of funds.
  - *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*

document d'engagement

- Document par lequel le gouvernement devient responsable d'un paiement futur pour des marchandises ou des services qu'il recevra; un engagement est immédiatement imputé au solde libre afin d'assurer la disponibilité de fonds.
  - *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

constant dollar estimate

- This is an estimate expressed in terms of the dollars of a particular base fiscal year C that is, it includes no provision for inflation. Cash flows over a number of fiscal years may also be expressed in constant dollars of the base year including no allowance for inflation in the calculation of costs. It is also called a constant year (CY) estimate.
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

estimation en dollars constants

- Estimation en dollars d'un exercice financier déterminé, autrement dit elle ne tient aucunement compte de l'inflation. Les mouvements de trésorerie peuvent aussi être présentés en dollars constants (sans aucune provision, dans le calcul des coûts, pour l'inflation). Elle est aussi appelée « estimation de l'année constante » (AC).
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

constant dollars

- Dollars of a particular base year, which are not adjusted (inflated or deflated) to show changes in the purchasing power of the dollar. The base year must always be stated.

dollars constants

- Dollars d'une année de référence donnée, qui ne sont pas majorés ou minorés compte tenu des fluctuations du pouvoir d'achat du dollar. Lorsqu'on parle de dollars constants, il faut toujours préciser l'année de référence.

contingency

- Any unforeseen, possible, or chance occurrence (e.g. design changes during production or construction, errors in estimating, changes in inflation rates or exchange rates) Approved allowances for contingencies would be maintained in a separate fund appropriated to the lead authority for a particular project, the use of which would have to be justified and recorded for reference purposes.
  - *Treasury Board, Administrative Policy Manual, Chap 540 (Dec 86)*

éventualité

- Tout événement imprévu, possible ou fortuit (p. ex., modifications de conception au cours de la production ou de la construction, erreurs dans l'estimation, changements dans les taux d'inflation ou de change). Les affectations approuvées pour les éventualités seraient conservées dans un fonds distinct, qui serait attribué à l'autorité responsable d'un projet particulier et dont l'utilisation devrait être justifiée et consignée à des fins de consultation.
  - *Conseil du Trésor, Manuel de la politique administrative, chap. 540 (déc. 1986)*

contingency allowance

- Funds included in estimated project costs so as to provide the flexibility to absorb minor unforeseeable increases in costs without having to repeat the approval process. It will not normally exceed 5-15% of the total non-recurring costs of the project and will be calculated with respect to each individual capital element of the project.

provision pour éventualités

- Sommes comprises dans l'estimation du coût d'un projet et qui accordent la souplesse nécessaire pour absorber les augmentations mineures imprévues des coûts sans avoir à répéter le processus d'approbation. Normalement, ces sommes représentent entre 5 et 15 pour cent des coûts non périodiques d'un projet et sont calculées en fonction de chacun des éléments d'immobilisations de l'ensemble du projet.

Contingency Operations • Those operations dealing with contingency events in support of Canadian interests at home and abroad, requiring the application of military forces or the provision of military assistance. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Opérations de contingence** • Opérations menées à l'appui des intérêts du Canada au pays et à l'étranger, par suite d'événements imprévus, et faisant appel à l'application de la force militaire ou à l'assistance militaire. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
contract • An agreement between a contracting authority and a person or firm to provide a good, perform a service, construct a work, or to lease real property for appropriate consideration. ○ *Treasury Board Manual, Contracting, Appendix A (Definitions), 1-10-89*	**marché** • Accord conclu entre une autorité contractante et un particulier ou une entreprise pour la fourniture d'un bien, l'exécution d'un service, la construction d'un ouvrage ou la location à bail d'un bien immobilier, moyennant une contrepartie. ○ *Manuel du Conseil du Trésor, Marchés, annexe A (Définitions), 1-10-1989*
corporate account • Corporate account is a dollar or personnel account which is centrally administered on behalf of the Department by a designated Level One Advisor. Such accounts include Military Pay, Cost Moves, National Procurement, etc.	**compte ministériel** • Un compte ministériel est un compte auquel sont affectés des fonds ou des effectifs, et qui est géré par un conseiller de niveau un au nom du Ministère. Ces comptes comprennent les soldes militaires, les dépenses pour déménagement, l'approvisionnement national, etc.
Cost • The direct and indirect costs of producing an output. The cost of an output can frequently be adjusted by selecting different output targets. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Coût** • Coûts directs et indirects liés à la production d'un résultat. On peut les rajuster fréquemment en choisissant des objectifs d'extrant différents. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
cost factor • A group or aggregation of similar or related standard costs used as the basic building block in cost estimating. ○ *Directorate of Managerial Accounting and Comptrollership, Cost Factors Manual, 1990-91, Annex B*	**facteur coût** • Groupe de coûts standard semblables ou voisins servant d'élément de base des estimations de coût. ○ *Direction de la comptabilité de gestion et fonction de contrôle, Le Manuel des coûts standard, 1990-91, Annex B*
cost-benefit analysis (CBA) • A quantitative examination of alternative solutions for a requirement, aimed at identifying the optimum solution. It is always comparative, assessing alternatives against each other in terms of relative cost and potential benefit. ○ *C-02-007-024/JX-001, Canadian Forces Technical Vocabulary, 1990-01-15*	**analyse coûts-avantages** (ACA) • Étude quantitative des différentes solutions qu'on peut adopter pour combler un besoin. Cette étude vise à déterminer laquelle des solutions examinées est la plus avantageuse en comparant les solutions l'une par rapport à l'autre, en fonction des coûts relatifs et des avantages possibles. ○ *C-02-007-024/JX-001, Vocabulaire technique des Forces canadiennes, 1990-01-15*
critical items list • List of items essential to the readiness and sustainment of the operational capability of the Canadian Forces. ○ *Directorate of Defence Industrial Resources, Handbook for Industrial Preparedness Planning, 1989 (Draft)*	**liste d'articles critiques** • Liste d'articles essentiels à l'état de préparation et au soutien des capacités opérationnelles des Forces canadiennes. ○ *Direction des ressources industrielles de la défense, Handbook for Industrial Preparedness Planning, 1989 (ébauche)*

current dollar estimate

- This is an estimate based on costs arising in each FY of the project schedule. It is escalated to account for inflation and other economic factors affecting the period covered by the estimate. It is also called the budget year (BY) estimate.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

estimation en dollars courants

- Cette estimation repose sur les coûts afférents à chacun des exercices financiers du calendrier du projet. Elle est majorée en fonction de l'inflation et d'autres facteurs économiques ayant une incidence sur la période visée. On l'appelle aussi « estimation de l'année budgétaire ».
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

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Lexicon of Definitions

Lexicon of

- Definitions
- Abbreviations

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Search/Recherche

List of Abbreviations

English	Français
defence industrial preparedness • The state of readiness, and thus the ability of a country's defence industrial base to respond, in a timely manner, to the peacetime, emergency/crisis and wartime operational military requirements of the armed forces of that country. ○ *Directorate of Defence Industrial Resources, Handbook for Industrial Preparedness Planning, 1989 (Draft)*	**état de préparation industrielle de défense** • État de préparation, et par extension la capacité de la base industrielle de défense du pays de répondre dans les meilleurs délais aux besoins opérationnels de ses forces armées en temps de paix, de guerre, de crise ou d'urgence. ○ *Direction des ressources industrielles de la défense, Handbook for Industrial Preparedness Planning, 1989 (ébauche)*
Defence Management Oversight Committee (DMOC) • The Defence Management Oversight Committee, chaired by the Director General Strategic Planning, reviews, endorses and provides oversight and resolution to cross-functional issues arising from priority areas in the approach to Modern Management in Defence: the Human Resource Strategy, Modern Comptrollership, the Defence Information Management Strategy, the Integrated Defence Management Framework (including the implementation of Strategy 2020) and the Management of Strategic Change.	**Comité préparatoire de la gestion de la défense** (CPGD) • Le Comité préparatoire de la gestion de la défense, présidé par le Directeur général – Planification stratégique, examine et approuve des dossiers inter fonctionnels touchant à des axes prioritaires d'intervention, pour en assurer le suivi et y trouver des solutions dans le cadre de la stratégie de gestion moderne adoptée à la Défense : la Stratégie en ressources humaines, la modernisation de la fonction de contrôle, la Stratégie de gestion de l'information de la Défense, le Cadre de gestion intégrée de la Défense (y compris la mise en œuvre de la Stratégie 2020) et la gestion des changements stratégiques.
Defence Mission • The singular defence mission is to defend Canada and Canadian interests and values while contributing to international peace and security. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Mission de défense** • La mission de défense consiste à protéger le Canada et à défendre ses intérêts et valeurs tout en contribuant à la paix et à la sécurité internationales. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Defence Plan (DP) • The primary guidance document for acquiring, organizing and maintaining the military capabilities required to fulfill defence policy. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**Plan de la Défense** (PD) • Le principal document d'orientation en matière d'acquisition, d'organisation et de maintien des capacités militaires requises pour mener à bien la politique de défense. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Defence Policy

- A set of actions and objectives prescribed by or on behalf of the Prime Minister and Cabinet that governs the decisions and actions of DND and CF in fulfilling the Defence mandate established in the NDA.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Defence Services Program (DSP)

- The departmental program, which contains departmentally-approved activities and projects, in resource terms, over time, in satisfaction of government policy. In this context, "departmentally-approved" includes full departmental approval, approval-in-principle, and planning approval.
    - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Defence Team

- The Defence Team is comprised of the civilian employees of the Department and the military members of the Canadian Forces.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

departmental costs

- Project costs reported in Synopsis Sheets seeking departmental approval from PMB that exclude the statutory and overhead costs associated with Project Management Personnel Resources (PMPRs) – see full-up costs.
    - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Departmental Performance Reports (DPR)

- Departmental Performance Reports, tabled in the fall of each year by the President of Treasury Board on behalf of all federal departments and agencies named in Schedule I, I.1 and II of the Financial Administration Act, are part of the Estimates and Supply process. The reports explain what the government has accomplished with the resources and authorities provided by Parliament. The performance information in the reports is intended to help Members of Parliament advise the government on resource allocation in advance of the annual budget and Supply process in the spring.
    - *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*

Politique de défense

- Ensemble de mesures et d'objectifs prescrits par le Premier ministre et le Cabinet, ou en leur nom, qui régissent les décisions et les interventions du MDN et des FC en vue de remplir le mandat de défense énoncé dans la LDN.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Programme des services de la Défense (PSD)

- Programme ministériel qui regroupe l'ensemble des activités et projets approuvés par le Ministère, définis en termes de ressources, s'étalant sur une certaine période, et visant à répondre à la politique gouvernementale. Dans ce contexte, «approuvés par le Ministère» signifie l'approbation intégrale, l'approbation de principe ou l'approbation de la planification.
    - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Équipe de la Défense

- L'Équipe de la Défense regroupe les employés civils du Ministère et les militaires des Forces canadiennes.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

coûts ministériels

- Coûts du projet indiqués sur les feuilles de synthèse visant à obtenir l'approbation ministérielle du CGP, qui excluent les coûts exigés par la loi et les frais généraux liés aux ressources en personnel pour la gestion de projets (RPGP) – voir « coûts des écarts à combler ».
    - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Rapports ministériels sur le rendement (RMR)

- Les rapports ministériels sur le rendement, déposés chaque année à l'automne par la présidente du Conseil du Trésor au nom de tous les ministères et organismes du gouvernement fédéral désignés dans les annexes I, I,1 et II de la Loi sur la gestion des finances publiques, font partie du processus du Budget des dépenses et du processus d'attribution des crédits. Les rapports expliquent ce que le gouvernement a réalisé grâce aux ressources et autorisations qui lui ont été fournies par le Parlement. L'information sur le rendement contenue dans ces rapports aide les députés à conseiller le gouvernement en matière d'affectation des ressources en préparation du processus annuel d'établissement du budget et d'attribution des crédits qui se déroule au printemps.
    - *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*

deployability

- The ability for personnel and materiel to be moved to a theatre of operations. Important considerations include force size, time required to be in theatre, distance of the operational theatre from the normal base of operations and the local conditions in the theatre.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

capacité de déploiement

- La capacité de déployer le personnel et le matériel dans un théâtre d'opérations. Les aspects importants à considérer sont la taille de la force, le délai requis pour rejoindre le théâtre, la distance entre le théâtre opérationnel et la base habituelle d'opérations ainsi que les conditions locales dans le théâtre.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

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economic model • A forecasting and measurement tool which serves to: maintain current data on actual and forecast price trends for the specific resources consumed by the Department of National Defence; enable resource managers to assess the impact of these trends on their operations; and assist senior management in planning long-range departmental activities within the limited financial resources available. ○ *Economic Model (A Price Trend Forecast) May 1990, Sect 2, para 1*	**modèle économique** • Un outil de prévision et de mesure qui permet de: tenir à jour les données sur les variations de prix actuels et prévus pour les ressources applicables au ministere de la Défense nationale; mettre les gestionnaires au courant des effets que ces variations ont sur leurs opérations; et seconder les cadres supérieurs dans la planification à long terme des activités ministérielles, compte tenu des ressources financières limitées disponibles. ○ *Modèle économique (Prévisions sur la tendance des prix), mai 1990, sect. 2, art. 1*
Effect • Effect like impact is a synonym for outcome although impact is somewhat more direct than an effect. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Effet** • Effet, tout comme impact, est un synonyme de résultat, bien que, les impacts présupposent habituellement une relation plus directe. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
Effective Project Approval (EPA) • This is approval of the objectives (project baseline), including the Cost Objective, of the project implementation phase and provides the necessary authority to proceed with implementation. Sponsoring departments submit for EPA when the scope of the overall project has been defined and the estimates have been refined to the substantive level. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**approbation effective de projet** (AEP) • Il s'agit de l'approbation par le Conseil du Trésor des objectifs (définition de base), y compris de l'objectif en matière de coûts, de la phase de mise en oeuvre du projet. Elle comprend aussi l'autorisation requise pour amorcer la mise en oeuvre. Les ministères parrains présentent une demande d'ADP lorsque la portée de l'ensemble du projet a été définie et que les coûts sont établis à partir d'une estimation fondée. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

Effectiveness - The extent to which an organisation, policy, program or initiative is meeting its planned results. Related term: Cost Effectiveness – The extent to which an organisation, program, etc. is producing its planned outcomes in relation to expenditure of resources. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Efficacité** - Mesure dans laquelle une organisation, une politique, un programme ou une initiative produit les résultats prévus. Terme connexe: efficacité en fonction du coût - Mesure dans laquelle une organisation, une politique, un programme ou une initiative produit les résultats prévus par rapport à la dépense en ressources. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
- The degree to which the activity/process and resultant output delivered/met the desired expectation (target/goal/standard etc). ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	- Degré auquel l'activité, le processus et l'extrant ont satisfait aux attentes (objectif/but/norme, etc.). ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Efficiency - The extent to which an organisation, policy, program or initiative is producing its planned outputs in relation to expenditure of resources. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Efficience** - Mesure dans laquelle une organisation, une politique, un programme ou une initiative produit les extrants prévus par rapport à la dépense en ressources. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
- The measure of the relationship of outputs to inputs (resources) and is usually expressed in terms of a ratio. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	- Mesure de la relation entre les extrants et les intrants (ressources), exprimée habituellement sous forme de rapport. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Element at Risk - An element at risk is that part of a task or initiative at risk of failure. ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*	**Élément à risques** - Un élément à risques est la partie d'une tâche ou d'une initiative susceptible d'aboutir à un échec. ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*
envelope; resource envelope - The level of resources available for each policy sector in the current year, the upcoming year and each of three planning years. Envelopes are established on an annual basis in the Fiscal Plan. They are defined primarily in terms of direct outlays from the Consolidated Revenue Fund but also take into consideration the implications of non-cash transactions such as loan guarantees and tax expenditures. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**enveloppe, enveloppe budgétaire** - Niveau de ressources dont dispose chaque secteur de dépenses pendant l'année en cours, l'année à venir et chacune des trois années de planification. Les enveloppes sont établies chaque année dans le plan financier. Elles se distinguent surtout par des décaissements directs du Trésor, mais tiennent également compte des répercussions d'opérations hors caisse comme les garanties d'emprunt et les dépenses fiscales. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
equipment - All non-expendable items needed to outfit or equip an individual or an organization. ○ *A-AD-121-D01/IX-000, NATO Glossary of Terms and Definitions, AAP-6(S), 1991*	**équipement** - Tous les articles non consommables nécessaires pour habiller et équiper une personne ou une organisation. ○ *A-AD-121-D01/IX-000, Glossaire OTAN de termes et définitions, AAP-6(S), 1991*

equipment operating cost • One of the four components of personnel, operations and maintenance cost. It represents the aggregate of the standard cost of operating and maintaining equipment including engineering services, contract repair and overhaul, spares, petroleum, oil and lubricants, and recoveries.	**coût d'exploitation de l'équipement** • L'un des quatre éléments des coûts liés au poste du Personnel, fonctionnement et entretien. Ces coûts représentent l'ensemble des coûts habituels d'exploitation et d'entretien de l'équipement, y compris les services techniques, les réparations et la révision effectuées dans le cadre de contrats, les pièces de rechange, les carburants et les lubrifiants, ainsi que les récupérations.
escalation factor • The annual percentage by which the purchasing power of the dollar is expected to change during the spending period of the project. It is arrived at by dividing the applicable escalation rate by 100 and then adding one.	**facteur d'indexation** • Fluctuation prévue, en pourcentage, du pouvoir d'achat du dollar pour chaque année de la période pendant laquelle les dépenses relatives au projet sont engagées. On le calcule en divisant le taux d'indexation applicable par 100, puis en ajoutant 1.
establishment (1) • An installation, together with its personnel and equipment, organized as an operating entity. ○ *A-AD-121-D01/IX-000, NATO Glossary of Terms and Definitions, AAP-6(S), 1991*	**organisme** • Ensemble comprenant à la fois du personnel et du matériel, organisé de manière à fonctionner comme un tout. ○ *A-AD-121-D01/IX-000, Glossaire OTAN de termes et définitions, AAP-6(S), 1991*
establishment (2) • The table setting out the authorized numbers of personnel and major equipment in a unit/formation; sometimes called "table of organization" or "table of organization and equipment". ○ *A-AD-121-D01/IX-000, NATO Glossary of Terms and Definitions, AAP-6(S), 1991*	**tableau d'effectifs et de dotation** • Il s'agit d'un tableau qui précise la dotation en personnel et en équipement majeur affectée à une unité/formation; il est parfois désigné sous le nom de « tableau d'organisation » ou « tableau d'organisation et de dotation des unités ». ○ *A-AD-121-D01/IX-000, Glossaire OTAN de termes et définitions, AAP-6(S), 1991*
establishment change proposal • A proposal to change the establishment or the organizational structure of a National Defence Headquarters Group or Command.	**proposition de changement à l'effectif** • Proposition visant à modifier l'effectif ou la structure d'un groupe du Quartier général de la Défense nationale ou d'un commandement.
Evaluation • The systematic collection and analysis of information on the performance of a policy, program or initiative to make judgements about relevance, progress or success and cost-effectiveness and/or to inform future programming decisions about design and implementation. See Program evaluation. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Évaluation** • Cueillette et analyse systématiques de l'information sur le rendement d'une politique, d'un programme ou d'une initiative permettant de porter des jugements sur sa pertinence, ses progrès et succès, et son effacité en fonction du coût et/ou d'éclairer des décisions sur la conception et la mise en oeuvre de programmes. Voir évaluation de programme. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
• A formal or informal assessment of performance based on an exercise that simulates the conditions described under a scenario or expected operational conditions. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	• Appréciation officielle ou officieuse du rendement en fonction d'un exercice qui simule les conditions décrites dans un scénario ou les conditions opérationnelles prévues. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Evolutionary Development (ED)

- An implementation methodology used when there is high risk and in which a project is parceled into phases or cycles with a deliverable at the end of each cycle. Each project phase delivers a capability and subsequent phases build on or enhance the earlier phase. After the implementation of each phase, a transition occurs to in-service support and life-cycle management.

Développement évolutif (DE)

- Méthode de mise en œuvre utilisée lorsque les risques sont élevés et selon laquelle un projet est morcelé en phases ou cycles, un produit devant être livré à la fin de chaque cycle. Chaque phase du projet génère une capacité, et les phases suivantes tirent parti de la précédente ou la renforcent. Après la mise en œuvre de chaque phase, il se produit une transition vers le soutien en cours de service et la gestion du cycle de vie.

Expectations

- Key Results which are expressed in sufficiently tangible terms to allow a Senior Manager to decide upon the levels of outputs that are required to meet these expectations.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Attentes

- Résultats clés définis en termes suffisamment tangibles pour permettre à un gestionnaire supérieur de déterminer les niveaux d'extrants requis pour satisfaire à ces attentes.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Expenditure Authority (EA)

- The authority assigned by the Minister under the Financial Administration Act to incur expenditures, including advance and progress payments, and to confirm satisfactory contract performance and price, as a prerequisite to the requisitioning of payment.
    - *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*

Autorisation de dépenser/dépenses (AP)

- L'autorisation accordée par le Ministre, en vertu de la Loi sur la gestion des finances publiques, d'encourir des dépenses, notamment des paiements anticipés et échelonnés, et de confirmer l'acceptabilité de l'exécution et du prix du contrat, en guise de condition préalable à la demande de paiement.
    - *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

External Risk Factors

- These are circumstances over which a Senior Manager cannot exercise control. Examples of external risk elements are: externally imposed deadlines; Government action; budget cuts; partnership obligations; statutory requirements; legal and political agreements; and impact of termination.
    - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Facteurs de risque externes

- Il s'agit de circonstances qu'un cadre supérieur ne peut pas contrôler. Voici quelques exemples d'éléments de risque externes: délais imposés par une autorité externe; mesure prise par le gouvernement; compressions budgétaires; obligations envers les partenaires; obligations légales; accords juridiques et politiques; et condition de résiliation.
    - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

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facilities operating cost • One of the four components of personnel, operations and maintenance cost. It represents the aggregate of the standard costs of operating and maintaining facilities including maintenance, rentals, utilities, miscellaneous services and recoveries.	**coût d'exploitation des installations** • L'un des quatre éléments des coûts liés au poste du Personnel, fonctionnement et entretien. Il s'agit de l'ensemble des coûts habituels d'exploitation et d'entretien des installations, y compris les frais d'entretien et de location, les coûts des services publics, les services divers et les recouvrements.
Final Outcome • These are generally outcomes that take a longer period to be realised, are subject to influences beyond the policy, program or initiative, and can also be at a more strategic level. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Résultat final** • Il s'agit en règle générale, des résultats dont l'atteinte nécessite plus de temps; ils sont soumis à des influences extérieures à la politique, au programme ou à l'initiative, et peuvent se produire à un niveau plus stratégique. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
Financial and Managerial Accounting System (FMAS) • FMAS is the official Record of Reference for the DSP. FMAS uses commercial-off-the-shelf (COTS) software, SAP R/3 that utilizes the functionality of seven modules. While each of the modules covers specific functionality, their combination forms FMAS. One goal of this new system is to provide a user-friendly project management tool that will provide accountability for planned and actual costs of a project. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**Système de comptabilité gestionnaire et financière** (SCGF) • Le SCGF sert d'archive officielle au PSD. Le SCGF incorpore un logiciel prêt-à-utiliser,le SAP R/3 qui exploite la fonctionnalité de sept modules. Bien que chaque module possède sa propre fonctionnalité, la combinaison de ces modules constitue le SCGF. Un des objectifs de ce nouveau système est d'offrir un outil de gestion de projet convivial qui assurera la responsabilisation en ce qui a trait aux coûts prévus et réels d'un projet. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
financial encumbrance • A document for the formal assignment of funds for a specific purpose. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**consignation de fonds** • Document pour l'affectation officielle de fonds à des fins précises. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

Force Development

- Planning and conceptualizing associated with the creation, maintenance and adaptation of military capabilities in the face of changing security and resource circumstances. Ideally, force development should be holistic, that is, encompass the entire range of considerations associated with creating, maintaining and adapting military capability.
    - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

Développement des forces

- Planification et conceptualisation qui s'associent à la création, au maintien et à l'adaptation de capacités militaire devant l'évolution des contextes de sécurité et de ressources. Idéalement, le développement des forces devrait être holistique, c'est-à-dire englober l'éventail complet des facteurs associés à la création, au maintien et à l'adaptation d'un potentiel militaire.
    - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

Force Generation

- The process of bringing forces, or part of them, to a state of readiness for operations, by assembling, and organizing personnel, supplies, and materiel. This task includes the training and equipping of forces and the provision of their means of deployment, sustainment and recovery to meet all current and potential threats. Account must be taken of the need to cater for concurrent operations and timely recuperation. It also embraces the mobilisation, regeneration and reconstitution necessary to meet a major conflict, such as general war, and the long-term development of capability to meet changing circumstances.
    - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

Constitution de la force

- Le processus qui vise à mener des forces, ou une partie, à un niveau de préparation opérationnelle, au moyen du regroupement et de l'organisation d'effectifs, de fournitures et de matériel. Cette tâche comprend l'entraînement et la dotation des forces ainsi que la fourniture des moyens pour leur déploiement, ravitaillement et récupération, en réponse à toutes menaces actuelles et éventuelles. On doit tenir compte de la nécessité de poursuivre des opérations simultanées et d'assurer une récupération opportune.
    - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

Force Structure

- A general term to describe the broad elements of an actual or proposed military force. Detailed force structures describe the organization and equipment of a military, while more general force structure descriptions focus on the overall nature of the force. For example, some force structures are designed for specific circumstances, while others are designed for a variety of possibilities and may therefore be described as multi-purpose.
    - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*
- The composition of the forces in terms of types of formations and units and their equipment together with relationship to one another.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Structure de forces

- Terme général qui décrit les éléments globaux d'une force militaire réelle ou proposée. Des structures de forces détaillées précisent l'organisation et le matériel, tandis que les structures plus généralisées décrivent le caractère global de la force. Par exemple, certaines structures de forces sont conçues pour des circonstances particulières, alors que d'autres visent un éventail de possibilités pouvant donc être désignées polyvalentes.
    - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*
- Composition des forces quant aux types de formations et d'unités et leur matériel ainsi qu'au rapport entre elles.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

full-up costs

- Project costs reported in Synopsis Sheets seeking PPA/EPA from TB or MND that include the statutory and overhead costs associated with PMPRs (employer's contribution to dental, medical, Employment Insurance and pension plans).
    - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

coûts des écarts à combler

- Coûts du projet indiqués sur les feuilles de synthèse visant l'obtention d'une APP/AEP de la part du CT ou du ministre de la DN, qui comprennent les coûts exigés par la loi et les frais généraux liés aux RPGP (contribution de l'employeur aux régimes de soins dentaires et de soins de santé, au régime d'assurance-emploi et au régime de pension).
    - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

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gateway management • An implementation methodology used with high risk projects. This approach would define a series of gates/off-ramps based on deliverables or events which must occur before authorization for the next phase of the project would be sought. These gates should relate to the project's Work Breakdown Structure and outline actions which would follow the failure of the events including shutting down the project, amending timelines, de-scoping or finding a different solution. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**gestion par « jonctions »** • Une méthodologie de mise en oeuvre utilisée avec les projets à risques élevés. Cette approche consisterait à définir une série de jonctions/voies de sorties, reflétant les produits livrables ou les événements qui doivent se produire avant de demander l'autorisation de passer à l'étape suivante. Ces jonctions devraient correspondre à la structure de répartition du travail (SRT) du projet et décrire les mesures correctives en réponse à l'incapacité de fournir un produit livrable (notamment la clôture du projet, la modification du calendrier, la réduction de la portée ou l'adoption d'une autre solution. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
Geomatics • Those scientific and engineering activities involved in the capture, storage, analysis, processing, presentation, dissemination and management of geo-spatial information. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Géomatique** • Activités scientifiques et techniques qui concernent la saisie, le stockage, l'analyse, le traitement, la présentation, la diffusion et la gestion des données géospatiales. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
goal • A general statement of desired outcome to be achieved over a specified period of time. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**but** • Énoncé général des résultats à atteindre au cours d'une période donnée. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*

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hardware - Physical equipment used in data processing, as opposed to computer programs, procedures, rules and associated documentation. ○ *Supply and Services Canada,(now Public Works and Government Services Canada) Information Technology Vocabulary, (GES/NGI-12/G03), 1984-03-26*	**matériel** - Dispositif matériel servant au traitement des données, par opposition aux programmes d'ordinateur, aux procédures, aux règles et à la documentation connexe. ○ *Approvisionnements et Services Canada (maintenant Travaux publics et Services gouvernementaux Canada), Vocabulaire de la technologie du traitement de l'information, (GES/NGI-12/G03), 1984-03-26*
High-level Operations - The entire range of modern weaponry may be used, including weapons of mass destruction. The sustained conduct of such operations will demand the mobilization of a nation's entire military potential. Military activity will be conducted continuously with maximum speed and violence throughout the theatre. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Opérations de grande envergure** - Opérations pour lesquelles on peut avoir recours à la gamme complète de l'armement moderne, y compris les armes de destruction massive. Le déroulement soutenu de ces opérations exige la mobilisation de tout le potentiel militaire d'un pays. L'activité militaire se déroule à une vitesse et avec une violence maximales sans interruption dans l'ensemble du théâtre d'opérations. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Horizontal Result (Collective Result) - An outcome that is produced through the contributions of two or more departments or agencies, jurisdictions, or non-governmental organizations. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**Résultat horizontal (Enjeu ou résultat collectif)** - Résultat réalisé par l'apport d'au moins deux ministères ou organismes, compétences ou organisations non gouvernementales. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
Humanitarian Aid - Activities conducted by military forces, mostly in urgent circumstances, to relieve human suffering, especially when local or governmental authorities are unable, or possibly unwilling, to provide adequate aid to the population. Humanitarian aid can take the form of protection against epidemics, provision of food aid, medical aid or assistance in public health efforts such as re-establishing essential infrastructures, with or without the consent of the state, if sanctioned by a UN resolution. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Aide humanitaire** - Activités des forces militaires, le plus souvent en situation d'urgence, visant à atténuer les souffrances humaines, surtout dans les cas où les autorités locales ou gouvernementales ne sont pas en mesure de fournir une assistance adéquate à la population ou encore qu'elles ne souhaitent pas le faire. L'aide humanitaire peut prendre les formes suivantes : protection contre les épidémies, aide alimentaire, soins médicaux ou aide aux services de santé publique (par exemple, pour rétablir les infrastructures essentielles). Si l'aide est sanctionnée par une résolution de l'ONU, il n'est pas nécessaire d'obtenir le consentement de l'État en cause.

- *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

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impact • Impact like effect is a synonym for outcome, although an impact is somewhat more direct than effect. ○ *Treasury Board, Guide for the Development of Results-based Management and Accountability Frameworks, August 2001, Annex A*	**impact** • Impact, tout comme effet, est un synonyme de résultat, bien que les impacts présupposent habituellement une relation plus directe. ○ *Conseil du Trésor, Guide d'élaboration des cadres de gestion et de responsabilisation axés sur les résultats, août 2001, Annexe A*
incremental cost • The net increase in total Program costs resulting from approval/non-approval of a project proposal. See "associated costs".	**coût différentiel** • Augmentation nette du coût total du programme entraînée par l'approbation ou le rejet d'une proposition de projet. Voir « frais connexes ».
indicative estimate • This is a low quality, order of magnitude estimate that is not sufficiently accurate to warrant Treasury Board approval as a Cost Objective. It replaces the classes of estimates formerly referred to as Class C or D. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**estimation indicative** • Il s'agit d'une estimation grossière de l'ordre de grandeur du projet, qui n'est pas suffisamment précise pour justifier l'approbation, par le Conseil du Trésor, d'un objectif relatif aux coûts. Elle remplace les estimations de catégorie C et D. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
Information Management (IM) • The means through which an organization maximizes the efficiency with which it plans, collects, organizes, controls, disseminates, uses and disposes of its information, and through which it ensures that the value and potential value of that information are identified and exploited to the fullest extent. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Gestion de l'information** (GI) • Moyen par lequel une organisation planifie, recueille, organise, contrôle, diffuse, utilise et élimine l'information de la façon la plus efficiente possible et qui lui permet d'en déterminer l'utilité réelle et potentielle et d'en tirer le meilleur parti. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Information Operations (IO)

- Actions taken in support of national objectives which influence decision makers by affecting other's information while exploiting and protecting one's own information.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Opérations d'information (OI)

- Mesures qui sont prises à l'appui d'objectifs nationaux et qui influent sur les décideurs en nuisant à l'information de l'autre tout en exploitant et en protégeant ses propres renseignements.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Information Services

- The leadership, expertise and resources necessary to enable an organization to manage the information it needs to carry out its mission.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Services d'information

- Direction, expertise et ressources nécessaires pour permettre à une organisation de gérer l'information dont elle a besoin pour accomplir sa mission.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Information Systems

- The assembly of equipment, methods and procedures and, if necessary, personnel, organized so as to accomplish specific information processing functions.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Systèmes d'information

- Regroupement de matériel, de méthodes, de procédures et, au besoin, de personnel pour remplir des fonctions précises de traitement de l'information.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Information Technology (IT)

- Information technology refers to the scientific, technological and engineering disciplines as well as to the management technologies used in information handling, communication and processing, their applications and associated software and equipment and their interaction.
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

technologie de l'information (TI)

- Les domaines scientifiques, technologiques et techniques ainsi que les techniques de gestion servant à la manipulation, à la communication et au traitement de l'information, leurs applications, le matériel et les logiciels connexes, et leur interaction.
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

Infrastructure

- A term generally applicable to all fixed and permanent installations, fabrications, or facilities for the support and control of military forces.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Infrastructure

- Terme englobant d'une façon générale les constructions, les installations ou les aménagements fixes et permanents qui servent au soutien et au contrôle des forces militaires.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

initial provisioning

- The process of determining the range and quantity of items (i.e. spares and repair parts, special tools, test equipment and support equipment) required to support and maintain an item for an initial period of service. Its phases include the identification of items of supply, the establishment of data for catalogue, technical manual and allowance list preparation, and the preparation of instructions to assure delivery of necessary support items with related end articles.
  - *C-02-007-024/JX-001, Canadian Forces Technical Vocabulary, 1990-01-15*

Approvisionnement initial

- Procédé qui consiste à déterminer la gamme et la quantité des articles (matériel et pièces de rechange, outillage spécial, outillage d'essai et matériel de soutien) nécessaires au soutien et à l'entretien d'un article pendant une période de service initiale. Ses étapes comprennent l'identification des articles à stocker, le rassemblement des données servant au catalogage, la préparation de listes d'attribution et de manuels techniques, de même que l'élaboration d'instructions pour assurer la livraison des articles de soutien avec les articles principaux.
  - *C-02-007-024/JX-001, Vocabulaire technique des Forces canadiennes, 1990-01-15*

Inputs (or Resources)

- Represents items such as overall program funding, operating and capital expenditures, and grants and contributions used in the provision of programs and services.
  - ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

in-service stage

- The third stage of the Life Cycle Management System. It starts when the equipment or system is placed into service. This stage encompasses the activities directed at the maintenance, support and modification of the equipment or system until it has been decided that it be disposed of from the inventory. This stage has no equivalent in the DMS.
  - ○ *A-LP-113-001/FP-001, Life Cycle Management System Guidance Manual, Ch 2, 1987-02-02*

inter-departmental agreement

- This is an arrangement concluded between the sponsoring department and a participating department (including the contracting authority) for certain specific responsibilities essential for a particular project. It is not required for services routinely provided by existing arrangements or legislation.
  - ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

Internal Risk Factors

- These are circumstances under the control of a Senior Manager exercising proper risk management. Examples of internal risk elements are: reliability of cost estimates; human resourcing; financial resourcing; definition of requirement - scope, deliverables, benefits, complexity; organizational structure; level of technical certainty; and sustainability of their organization.
  - ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Interoperability

- The ability of systems, units or forces to provide services to and accept services from other systems, units or forces and to use the services so exchanged to enable them to operate effectively together.
  - ○ *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

Intrants (ou ressources)

- Se présentent sous diverses formes : ensemble du financement des programmes, dépenses de fonctionnement et d'immobilisations, subventions et contributions, etc., utilisés dans le cadre de la prestation des programmes et des services.
  - ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

étape utilisation

- Troisième étape du Système de gestion du cycle de vie du matériel. Elle débute lorsque l'équipement ou le système est mis en service. Cette étape comprend toutes les activités reliées à la maintenance, au soutien et à la modification d'un équipement ou d'un système jusqu'à ce qu'on décide de le retirer de l'inventaire. Cette étape n'a pas d'équivalent dans le Système de gestion de la Défense.
  - ○ *A-LP-113-001/FP-001, Guide du Système de gestion du cycle de vie du matériel, mod. 2, 1987-02-02*

accord interministériel

- Il s'agit d'un accord entre le ministère parrain et un ministère participant (y compris l'autorité contractante) visant certaines responsabilités spécifiques essentielles à un projet particulier. Un tel accord n'est pas nécessaire pour les services fournis habituellement en vertu d'accords ou de lois existants.
  - ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

Facteurs de risque internes

- Il s'agit de circonstances contrôlées par un cadre supérieur effectuant une gestion des risques adéquate. Voici quelques exemples d'éléments de risque internes : fiabilité des prévisions de coûts; ressources humaines; ressources financières; définition des besoins - portée, résultats, avantages, complexité; structure organisationnelle; niveau de la certitude technique; et viabilité de l'organisation.
  - ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Interopérabilité

- La capacité des systèmes, des unités ou des forces d'assurer des services à d'autres systèmes, unités ou forces ou d'en recevoir, et d'utiliser les services ainsi échangés pour opérer efficacement ensemble.
  - ○ *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

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Joint

- An adjective that connotes activities, operations, organizations, etc in which elements of more than one service of the same nation participate. (When all services are not involved, the participating services shall be identified). See also combined.
  - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

▲

Français

Interarmées

- Adjectif qui dénote des activités, opérations, organisations, etc. auxquelles participent des éléments de plus d'un service du même pays. (Lorsque tous les services ne sont pas concernés, les participants sont identifiés). Voir aussi interalliés.
  - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

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English	Français
key results and expectations	**Attentes à l'égard des résultats clés**
• Key results which are expressed in sufficiently tangible terms to allow an Environmental Chief of Staff or Group Principle to decide upon the levels of outputs that are required to meet these expectations.	• Résultats clés exprimés en termes suffisamment concrets pour permettre à un chef des éléments terre, mer ou air ou à un chef de groupe de déterminer les niveaux de production requis pour combler ces attentes.

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Lane Metres • A commercial shipping term which refers to the length of a standard vehicle shipping lane (2.5m wide) occupied by a given commodity on a ship. For planning purposes, all vehicles and cargo can be converted into "lane/metres". ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Mètres linéaires** • Expression utilisée en navigation commerciale pour décrire la longueur d'un couloir de livraison de véhicules standard (2,5 m de large) dans lequel se trouve une marchandise quelconque à bord d'un navire. À des fins de planification, tous les véhicules et cargaisons peuvent être convertis en « mètres linéaires ». ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
leadership period • A project can be divided into two leadership periods: the period in which the Project Sponsor leads the management effort for the project, and the period in which the Project Implementor leads the management effort. ○ *Project Management Principles and Policies for the Department of National Defence, 8000-1(VCDS) 31 Jul 91 (approved at PCB 01/92, 5 Feb 92, Item V), updated 1999-05-01*	**période de direction** • On peut diviser un projet en deux périodes de direction : la période pendant laquelle le promoteur en assure la gestion, puis la période pendant laquelle le réalisateur en assure la gestion. ○ *Gestion de projet : Principes et politiques à l'intention du ministère de la Défense nationale, juillet 1991, approuvé par le CCP 01/92 le 5 février 1992 (point no V) mise à jour par 1999-05-01*
Level One Advisor (L1) • Those senior managers who have direct accountability to the DM/CDS and for whom the DM/CDS exercise full authority to assign and adjust tasks, goals and resources. These managers in turn have Level 1 delegated financial signing authority as outlined in the Delegation of Authorities for Financial Administration. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Conseillers de niveau un** (L1) • Gestionnaires supérieurs qui relèvent directement du SM ou du CEMD et à l'égard desquels le SM et le CEMD ont pleins pouvoirs pour assigner et adapter des tâches, des buts et des ressources. Ces gestionnaires se voient pour leur part déléguer un pouvoir de signature de niveau 1 en matière financière, comme il est indiqué dans le document intitulé Délégation des pouvoirs de signature en matière financière. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

levels of operations - high-level operations

- The entire range of modern weaponry may be used, including weapons of mass destruction. The sustained conduct of such operations will demand the mobilization of a nation's entire military potential. Military activity will be conducted continuously with maximum speed and violence throughout the theatre.
  - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

envergure des opération - opérations de grande envergure

- On peut avoir recours à la gamme complète de l'armement moderne, y compris les armes de destruction massive. Le déroulement soutenu de telles opérations exige la mobilisation de tout le potentiel militaire d'un pays. L'activité militaire se déroule à une vitesse et avec une violence maximales sans interruption dans l'ensemble du théâtre d'opérations.
  - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

levels of operations - low-level operations

- Military operations that are normally conducted by forces-in-being, applying the minimum force necessary to achieve the mission. Contact with opposing forces may be infrequent.
  - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

envergure des opération - opérations de faible envergure

- Opération militaire normalement menée par des forces disponibles, en appliquant la force minimale nécessaire à l'accomplissement de la mission. Les contacts avec les opposants peuvent être peu fréquents.
  - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

levels of operations - mid-level operations

- Military operations that involve most, if not all, of a nation's forces-in-being and may require the mobilization of additional resources. Deadly force will be applied, although there may be restrictions on the types of weapons used or the geographic area in which they are employed. Military activity will be conducted with speed and violence, but may be non-continuous and localized in an area of operations.
  - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

envergure des opération - opérations de moyenne envergure

- Opération militaire faisant appel à la plupart, sinon à l'ensemble, des forces disponibles d'une nation et pouvant exiger la mobilisation de ressources supplémentaires. On recourt à la force mortelle, bien que l'on puisse imposer des restrictions sur les types d'armes ou la zone géographique dans laquelle on s'en sert. L'activité militaire se déroule avec rapidité et violence mais elle peut être intermittente et localisée dans une zone d'opérations.
  - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

life cycle cost (LCC)

- The total cost of an item over its planned life span from conception to disposal.

coût du cycle de vie du matériel (CCVM)

- Coût total d'un article au cours de sa durée utile, depuis sa conception jusqu'à sa disposition.

life cycle management

- The management of all activities required to support any item of materiel from its initial conception to the time of its disposal from the Canadian Forces.
  - *A-LP-113-001/FP-001, Life Cycle Management System Guidance Manual, Ch 2, 1987-02-02*

gestion du cycle de vie

- Gestion de toutes les activités nécessaires au soutien de tous les articles d'équipement, du moment de la conception initiale jusqu'au retrait de l'inventaire des Forces canadiennes.
  - *A-LP-113-001/FP-001, Guide du Système de gestion du cycle de vie du matériel, mod. 2, 1987-02-02*

life cycle stages

- The four stages in life cycle management - Conception, Acquisition, In-Service, and Disposal. The term "stage" is used in the Life Cycle Management System to distinguish it from the Defence Management System, in which the term "phase" is used.

étapes du cycle de vie du matériel

- Les quatre étapes de la gestion du cycle de vie du matériel : la conception, l'acquisition, l'utilisation et la disposition. On utilise le terme « étape » dans le Système de gestion du cycle de vie du matériel pour différencier ce dernier du Système de gestion de la Défense, dans lequel on utilise le terme « phase ».

Long Term Capital Plan (LTCP)

- A 15-year plan for equipping and modernizing the CF to achieve Strategy 2020. This capability-based plan delivers, in progressive 5-year stages, a military capability that is effective and relevant to the needs of Canada. This plan illustrates the scope and character of a defence capital program that will deliver the capabilities required to enhance and improve the Capability Programs. The LTCP covers the overall capital program strategy, other capital as well as miscellaneous requirements and equipment (including IM/IT projects). The LTCP(Construction) will address the infrastructure strategy, including acquisitions and disposals and related capital construction projects.

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Plan d'immobilisation à long terme (PILT)

- Un plan d'une aurée de 15 ans pour l'équipement et la modernisation des FC visant à atteindre l'objectif de la Stratégie 2020. Ce plan, fondé sur la capacité, fournira par des étape quinquennales progressives, une capacité militaire qui sera efficace et qui répondra aux besoins du Canada. Ce plan mette en lumière l'envergure et le caractère du programme d'investissement de la Défense visant à procurer les capacités nécessaires à l'amélioration des programmes en matière de capacité. Le PILT couvre la stratégie du programme général des immobilisations, les autres projets d'immobilisations ainsi que les besoins divers et le matériel dont les projets liés à la GI/TI. Le PILT(Construction) concerne la stratégie de l'infrastructure, notamment les acquisitions et les éliminations ainsi que les projets de construction d'installations permanentes connexes.

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Main Estimates (ME) • Title of Part II of the Estimates. Part II, commonly referred to as the "Blue Book", supports the spending proposals of the government. It also contains estimated expenditures to be made under the authority of various statutes previously passed by Parliament, although these do not form part of the Appropriation Act. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**Budget des dépenses principal** (BDP) • Titre de la Partie II du Budget des dépenses. La Partie II, habituellement désignée par l'expression « livre bleu », étaye les propositions de dépenses du gouvernement. En outre, elle fait état des dépenses en vertu des différents postes législatifs déjà adoptés par le Parlement, même si ces derniers ne sont pas compris dans la loi de crédits. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
Major Crown Project (MCP) • A project is deemed to be a Major Crown Project when its estimated cost will exceed $100 million and the Treasury Board would assess the project as high risk. Treasury Board may direct that projects with total projected cost less than $100 million but with a current risk assessment of high be managed as an MCP. Further, Treasury Board reserves the right to require any project exceeding the minister's delegated project approval authority to be managed as an MCP. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**grand projet de l'État** (GPE) • On considère qu'il s'agit d'un grand projet de l'État lorsque le coût estimatif d'un projet dépasse 100 millions de dollars et que, selon le Conseil du Trésor, le projet comporte des risques élevés. Le Conseil du Trésor peut ordonner que les projets dont le coût total prévu est inférieur à 100 millions de dollars, mais qui comportent des risques élevés soient gérés comme des grands projets de l'État. En outre, le Conseil du Trésor se réserve le droit d'exiger que tout projet dépassant le niveau que le ministre parrain a le droit d'approuver soit géré comme un grand projet de l'État. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
major equipment • Items of equipment which, in themselves, fulfil prime operational functions and which do not lose their identity or become integral parts of other equipment or installations, eg, ships, tanks, aircraft.	**équipement majeur** • Articles qui remplissent des fonctions opérationnelles fondamentales, qui ne perdent pas leur identité et qui ne deviennent pas partie intégrante d'autres équipements ou installations. Les navires, les chars et les aéronefs sont des exemples d'équipements majeurs.
management information control authority • The office within each command or group that is responsible for the coordination and control of automated data processing activity in that Command or Group.	**administration du contrôle de l'information de gestion** • Le bureau au sein de tout commandement ou groupe qui est responsable de la coordination et de la surveillance des activités internes de traitement automatique des données.

Mandated Programs • Activities, products and services associated with meeting programs that are imposed generally from external agencies but also those internally directed. There are three categories of mandated programs: Government directed, Department directed and Environmental Chief of Staff/Group Principal directed. Examples include: Government directed - Official Languages and Employment Equity; Department directed - Support Harassment Elimination and Defence Ethics; and Level 1 Advisor directed - Flight Plan For Life. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	▲	**Programmes autorisés** • Activités, produits et services se rapportant à la mise en œuvre de programmes qui sont généralement imposés par des organismes externes mais qui le sont aussi à l'interne. Les programmes autorisés se regroupent en trois catégories : ceux imposés par le gouvernement, ceux imposés par le Ministère et ceux imposés par le chef d'état-major d'une armée ou un chef de groupe. En voici des exemples : gouvernement - Langues officielles et équité en matière d'emploi; Ministère - appui à l'élimination du harcèlement et à l'éthique de la Défense; et conseiller de niveau 1 - Plan de vol pour la vie. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Materiel • Equipment or supplies used by an organization or institution, or required by some work or enterprise. All items (including ships, tanks, self-propelled weapons, aircraft, etc., And related spares, repair parts, software and support equipment, but excluding real property, installations and utilities) necessary to equip, operate, maintain and support defence-related activities, without distinction as to their application for administrative or combat purposes. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	▲	**Matériel** • Équipement ou fournitures qu'une organisation ou une institution utilise, ou qui sont nécessaires à un travail ou à une entreprise quelconque. Tous les articles (incluant les navires, les chars, les armes automotrices, les aéronefs, etc., et les pièces de rechange, les logiciels et le matériel de soutien connexes, mais excluant les biens immobiliers, les aménagements et les services publics) nécessaires à la dotation, à l'exécution, au maintien et au soutien des activités liées à la défense, que ces articles servent à des fins administratives ou au combat. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
matrix management • One of the principal systems of project management in use within the Department. Project officers within the departmental organization assume their project responsibilities as part of their regular duties.	▲	**gestion matricielle** • L'un des principaux systèmes de gestion de projets qu'utilise le Ministère. Les officiers de projet assument leurs responsabilités ayant trait au projet dans le cadre de leurs tâches régulières.
memorandum of understanding (MOU) • An MOU is a written, approved, non-contractual, non-legally binding arrangement that may be developed at any level within DND/CF, whereby there is agreement to cooperate in a project, program or similar undertaking. Other participants may include: departments of the federal or provincial governments, crown corporations or agencies, industry, foreign armed forces, departments or ministries of foreign governments, and North Atlantic Treaty Organization (NATO) agencies. [DAOD 7014]	▲	**protocole d'entente** (PE) • Accord écrit, approuvé, non contractuel et non contraignant sur le plan juridique que l'on peut établir à tout niveau du MDN ou des FC, visant la coopération sur un projet, un programme ou une initiative semblable. Les autres participants possibles sont : les ministères des gouvernements fédéral ou provinciaux, les sociétés ou organismes de l'État, l'industrie, les forces armées de pays étrangers, les ministères de gouvernements étrangers, ainsi que les organismes de l'OTAN. [DOAD 7014]
milestone • A timed event in the planning/programming/implementation process by which the achievement of the project management schedule is controlled.	▲	**jalon; point de repère** • Événement prévu dans le processus de planification, de programmation et de mise en oeuvre d'un projet, qui permet de contrôler l'exécution de son calendrier de gestion.
military personnel cost • One of the four components of personnel, operations and maintenance cost. They are the aggregate of the standard costs applicable to regular force personnel, reserve force personnel and cadets, including pay, allowances, government contributions, grants, benefits, movement and travel, training and recoveries.	▲	**coût du personnel militaire** • L'un des quatre éléments des coûts liés au poste du Personnel, fonctionnement et entretien. Il s'agit de l'ensemble des coûts standard relatifs au personnel de la force régulière, de la réserve et des cadets, y compris les salaires, les indemnités, les contributions gouvernementales, les subventions, les avantages sociaux, les frais de déplacement et de voyages, la formation et les recouvrements.

Miscellaneous Requirements (MR) - Miscellaneous Requirement (MR) projects are defined as projects for the one-time acquisition of new equipment, materiel and/or services where the total project value does not exceed $5M or for the recurring acquisition of replacement equipment and materiel where the individual item value does not exceed $1M. Further conditions applicable to MR projects are: - They do not significantly increase demand on Personnel or O&M; - They have no associated project management costs; - They have no associated project definition/development costs. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**besoins divers** (BD) - Projet visant l'acquisition ponctuelle d'équipement, de matériel et/ou de services nouveaux, lorsque la valeur totale du projet ne dépasse pas 5 M$, ou l'acquisition répétée d'équipement et de matériel de remplacement, lorsque la valeur de chaque article n'excède pas 1 M$. D'autres conditions s'appliquent aux projets de besoin divers : ils n'augmentent pas de manière considérable la demande à l'égard des services du personnel ou du F et E; ils ne comportent pas de coûts de gestion du projet; ils ne comportent pas de coûts liés à la définition ou à l'élaboration du projet. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
mission (1) - An organization's mission and mandate refer to the purpose(s) it serves, or the reason(s) for its existence. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**mission (1)** - La mission et le mandat d'une organisation indiquent sa (ou ses) fin(s) et sa (ou ses) raisons d'être. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
mission (2) - The essential activities assigned to an individual, unit, or force. It contains the elements of who, what, when, where, and the why (reasons therefore), but seldom specifies how. ○ *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*	**mission (2)** - Les activités essentielles qui sont confiées à un individu, à une unité ou à une force. La mission comporte des éléments du qui, du quoi, du quand, de l'où et du pourquoi (les justificatifs), mais elle précise rarement le comment. ○ *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*
mission objectives - A subordinate part of a mission, under which capabilities are grouped.	**objectifs de mission** - Un élément d'une mission, dans le cadre duquel on regroupe des capacités.
Multi-purpose Forces - Flexible, combat-ready armed forces capable of operating effectively and efficiently in a multi-threat environment. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Forces polyvalentes** - Forces armées souples et prêtes au combat, capables de mener avec efficacité et efficience des opérations dans un contexte caractérisé par des menaces multiples. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

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National Level Units • These units provide the national command and logistical support to the vanguard and main contingency force. They consist of the Canadian Support Group (CSG), Engineer Support Group (ESP), Military Police Unit (MPU), Canadian Medical Group (CMG), Communications Information Systems Unit (CISU) and the Joint Headquarters (JHQ). ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Unités nationales** • Ces unités assurent le commandement national et le soutien logistique des éléments d'avant-garde et de la force de contingence principale. Elles comptent le Groupe de soutien du Canada (GSC), le Groupe d'appui du génie (GAG), l'Unité de la police militaire (UPM), le Groupe médical du Canada (GMC), l'Unité des systèmes de communications et d'information (USCI) et le Quartier général interarmées (QGI). ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
non-apportioned account • A corporate account that is administered centrally by a designated Level One Advisor (custodian) on behalf of the Department. The "custodian" Level One Advisor has the flexibility to plan, prioritize and negotiate trade-offs (program adjustments) both within this account and between this account and other departmental accounts subject to formal approvals as dictated the DMS. The custodian is also responsible for the expenditure of the allocation.	**compte non-réparti** • Compte ministériel administré de façon centrale par un conseiller de niveau un désigné (gardien) au nom du Ministère. Le « gardien » a la latitude de planifier, de placer par ordre de priorité et de négocier des échanges (ajustements de programme) tant dans les limites de ce compte qu'entre ce compte et d'autres comptes ministériels, sous réserve de l'obtention des approbations officielles exigées dans le manuel du SGD. Le gardien est également responsable de la façon dont est dépensée l'affectation.
non-discretionary cost/change • A cost/change to the Defence Services Program brought about by circumstances over which the Department has no control, such as a Treasury Board approved change in the benefits payable to civilian employees.	**coût / modification non discrétionnaire** • Une modification ou un coût affectant le Programme des services de la Défense, entraîné par des situations sur lesquelles le Ministère n'exerce aucun contrôle, telles qu'une modification des prestations versées aux employés civils approuvée par le Conseil du Trésor.
Non-recurring operations and maintenance costs • Expenditures chargeable to Vote 1 (operations and maintenance) resulting from a project that are incurred during the project implementation phase.	**frais exceptionnels de fonctionnement et d'entretien** • Dépenses imputables au crédit 1 (fonctionnement et entretien) qui résultent d'un projet et qui sont faites pendant la phase de mise en oeuvre.

Non-strategic Capital Projects

- All projects which have a potenial cost of less than $100M BY and medium risk. A planning envelope of Vote 5 funds is devolved to Level One Advisors who set the priorities, affordability and achievability of projects within their Level One Business Plans. These priorities are directly reflected in the Long Term Capital Plan (Equipment).

Projets d'immobilisations non stratégiques

- Tous les projets dont le coût éventuel est inférieur à 100 M$ (estimation de l'année budgétaire) et qui comportent un risque moyen. Une enveloppe de planification contenant des fonds du crédit 5 est allouée aux conseillers de niveau un, qui déterminent les priorités, l'abordabilité et la faisabilité des projets dans leurs plans d'activités de niveau un. Ces priorités sont directement reflétées dans le Plan d'immobilisations à long terme (Équipement).

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objectives • Clear statements that reflect an organization's mission and mandate and are achievable and measurable. Objectives also set the direction for strategies and programs.	▲	**objectifs** • Énoncés clairs qui reflètent la mission et le mandat d'une organisation, et qui sont réalisables et mesurables. Les objectifs orientent également les stratégies et les programmes.
Objectives (DND/CF) at Risk • Risk issues are discussed in relation to the attainment of the DND/CF objectives outlined in Strategy 2020. ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*	▲	**Programmes de capacités du MDN/FC à risques** • Les questions liées aux risques sont discutées en relation avec l'exécution des programmes de capacités par le MDN et les FC. ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*
Office of Collateral Interest (OCI) • The authority which provides advice or guidance to an office of primary interest with respect to a specific issue or area of expertise.	▲	**Bureau consultatif** (BC) • Instance chargée de fournir des conseils ou des directives au bureau de première responsabilité relativement à une question ou à un domaine d'expertise particulier.
Office of Primary Interest (OPI) • The authority which is named to exercise primary management or leadership responsibility in the execution of an assigned task.	▲	**Bureau de première responsabilité** (BPR) • Instance désignée pour exercer les principales responsabilités de gestion et de direction au cours de l'exécution d'un travail assigné.
off-the-shelf item • An item produced and placed in stock by a contractor prior to the contractor receiving orders or contracts for the sale of the item. The contractor may produce the items to either commercial or military/government item specifications or descriptions. Also included in this category are items stocked by distributors for which government contracts may be received. ○ *C-02-007-024/JX-001, Canadian Forces Technical Vocabulary, 1990-01-15*	▲	**produit courant offert dans le commerce (article sur le marché)** • Article qu'un entrepreneur produit et place en stock avant de recevoir des commandes ou des contrats pour sa vente. Le contractant peut produire l'article conformément à des spécifications ou à des descriptions commerciales, militaires ou gouvernementales. Les articles stockés par les distributeurs que le gouvernement peut commander figurent aussi dans cette catégorie. ○ *C-02-007-024/JX-001, Vocabulaire technique des Forces canadiennes, 1990-01-15*

omnibus project

- A project that consolidates several closely related requirements into a single proposal. A parent/child relationship is characteristic of an omnibus project. The "parent" omnibus describes the full scope of the proposal while recognizing that several stand alone "children" will result during definition and implementation project phases. Omnibus projects involve a phased approach to implementation – see gateway management and evolutionary development.

projet d'ordre général

- Projet qui regroupe plusieurs besoins étroitement liés dans une seule proposition. Un projet d'ordre général est caractérisé par une relation « parent/enfant ». Le projet « parent » décrit la proposition intégrale tout en reconnaissant que plusieurs projets « enfants » autonomes en découleront au cours des phases de définition et de mise en œuvre. Les projets d'ordre général supposent une approche graduelle de la mise en œuvre – voir « gestion par jonctions » et « développement évolutif ».

operating budget

- The operating budget consists of those dollar resources devolved directly to the Level One Advisors and Special Entities. Operating budgets include O&M, civilian SWE, Primary Reserve Pay, O&M, Field Operation Allowances and minor capital. Planning, prioritizing and expenditure is delegated under the Financial Administration Act (FAA), TB Guidelines and the DND Delegation of Financial Authorities document.

budget de fonctionnement

- Le budget de fonctionnement consiste en des ressources financières directement déléguées aux conseillers de premier échelon et aux entités spéciales. Les budgets de fonctionnement englobent le F et E, les salaires et traitements du personnel civil, la paie de la première réserve, les indemnités d'opération en campagne et les immobilisations mineures. Les responsabilités en matière de planification, d'élaboration des priorités et de dépenses sont déléguées en vertu de la Loi sur la gestion des finances publiques, des lignes directrices du CT et du document du MDN sur la délégation des pouvoirs financiers.

Operational Forces

- Activities and outputs that are either directly involved in military operations or are part of a contingent capability to conduct military operations. Consists of forces (Regular, Reserve and Mobilization), materiel and tactical/theatre service support. Includes collective and mission specific training.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Forces opérationnelles

- Activités et extrants qui concernent directement les opérations militaires ou qui font partie de ressources contingentes pour la conduite d'opérations militaires. Les forces opérationnelles englobent la force (régulière, de réserve et en mobilisation), le matériel et le soutien tactique/de théâtre. Y sont incluses l'instruction collective et l'instruction pour une mission précise.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

operational readiness and effectiveness

- The readiness of a Force to undertake its task, and its effectiveness in achieving that task.

efficacité et état de préparation opérationnelle

- L'état de préparation d'une force pour accomplir une mission, ainsi que son efficacité dans la réalisation de cette mission.

operations (1)

- Either routine or emergent. Routine operations are generally activities that are either constabulary or conducted in Operations Other Than War. They can generally be planned for. Emergent operations are generally those that are conducted during periods of pre-hostility and hostilities. Constabulary or OOTW that arise but are unplanned are also emergent operations.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

opérations (1)

- Courantes ou naissantes. Les opérations courantes représentent d'habitude des activités qui sont constabulaires ou menées dans le cadre d'opérations hors-guerre. Elles sont en principe planifiées. Les opérations naissantes sont d'habitude celles qui ont lieu dans des périodes précédant des hostilités ou dans des contextes d'hostilités. Les opérations constabulaires ou les OHG qui ne sont pas prévues constituent elles aussi des opérations naissantes.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

operations (2)

- The carrying out of service, training, or administrative military mission; the process of carrying out combat (and non-combat) military actions.
    - *Directorate of Defence Analysis, Strategic Capability Planning for the Canadian Forces, 2000-06-13*

opérations (2)

- L'exécution de service, d'entraînement ou d'une mission administrative militaire; le processus d'exécution des opérations de combat (ou des opérations pacifiques).
    - *Direction des Analyses de Défense, Planification stratégique des capacités des Forces canadiennes, 2000-06-13*

Operations and Maintenance (O&M) • That portion of the annual budget that provides funds for the goods and services necessary to maintain the Forces. Chargeable to Vote 1.	**fonctionnement et entretien** (F et E) • Partie du budget annuel dont les fonds, imputables au crédit 1, servent à l'achat de biens et services nécessaires au maintien des Forces armées.
Operations Other Than War (OOTW) • Encompasses the use of military capabilities across the range of military operations except those associated with sustained, large-scale combat operations usually associated with war. OOTW are very broad in scope and range from domestic operations within Canada to peace-enforcement operations abroad. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Opérations hors guerre** (OHG) • Expression englobant le recours aux capacités militaires dans toute la gamme des opérations militaires, exception faite de celles liées aux actions d'envergure et soutenues qui se rapportent habituellement à la guerre. Le concept des OHG est très vaste; il englobe tant les opérations menées au Canada que les opérations d'imposition de la paix effectuées à l'étranger. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
outcome measures • Identify what is to be achieved by an organization, a program or a service. They are intended to define the actual impact of an organization's actions. Outcome measures can be defined in terms of short-term, intermediate, and long-term impacts.	**mesures d'impact** • Ces mesures indiquent ce que doit réaliser une organisation, un programme ou un service. Elles visent à définir l'impact réel des actions d'une organisation. Les mesures d'impact peuvent porter sur les impacts à court, moyen ou long terme.
Outcomes/Objectives/Key Results • A description of the actual effect, benefit or consequence that occurs (either in the short-term or long-term) due to the output of a program, process or activity - the overall result of a group of selected outputs over time to achieve a specific purpose. The hierarchical expression of these effects is in the order of Outcome => Objective => Key Result. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Impacts/objectifs/résultats clés** • Description de l'effet, de la conséquence ou de l'avantage réel qui découle (à court ou à long terme) du résultat d'un programme, d'un processus ou d'une activité - soit le résultat global que produit, dans le temps, un ensemble d'extrants choisis afin d'atteindre un but précis. L'expression hiérarchique de ces effets respecte l'ordre Impact => Objectif => Résultat clé. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
output targets • Output indicators are managerial indicators. For example, they will track the percentage of a Business Plan, Service Level Agreement or Mandated Program that was achieved. The targets within these documents are the output targets. They include targets that describe reach, range of products/services, effectiveness or cost. These outcome targets describe the desired state that is to be achieved in order to meet the outcome key results.	**cible d'extrant** • Les indicateurs d'extrants sont des indicateurs de gestion. Par exemple, ils permettent de suivre le pourcentage d'un plan d'activités, d'un accord sur les niveaux de service ou d'un programme autorisé que l'on a achevé. Les cibles fixées dans ces plans, accords et programmes sont des cibles d'extrant. Elles comprennent les cibles qui décrivent la portée, la gamme des produits et services, l'efficacité ou le coût. Ces cibles d'extrants décrivent la situation à réaliser pour atteindre les résultats clés sur le plan des extrants.
outputs • The direct products and services produced through program activities without specific reference to their ultimate purpose. The difference between an output and an outcome is that an output is product focussed and an outcome is impact, consequence or results focussed. For DND/CF the categories of outputs are: Defence Policy (Departmental Level only); Operational Forces; Command and Control; Support to Operations; and Support to Broad Government Programs (Defending Canada Defence Mission only).	**extrants** • Les biens et services directs produits par le biais des activités de programme, sans renvoi spécifique à leur fin. La différence entre un impact et un extrant est qu'un extrant est axé sur le produit, tandis que l'impact est axé sur l'effet, la conséquence ou les résultats. Pour le MDN/FC, les catégories d'extrants sont les suivantes : politique de défense (niveau ministériel seulement); forces opérationnelles; commandement et contrôle; soutien aux opérations; soutien aux programmes gouvernementaux généraux (mission de la défense du Canada seulement).

over-program

- Over-program is a strategic level program management issue. It is the level of planning dollars above the identified available funding for the corporate capital equipment account. The over-program level is established by ADM(Mat) and endorsed by PMB. It is applied at the corporate level only.
  - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Dépassement de programme

- Le dépassement de programme est une question d'ordre stratégique liée à la gestion. Elle correspond au niveau de financement prévu en sus des fonds disponibles pour le compte ministériel des biens d'investissement. Le niveau de programmation majorée est fixé par le SMA(Mat) et approuvé par le CGP. Il est établi au niveau ministériel seulement.
  - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

overrun

- An increase in the time or cost objective of a project following effective project approval. A reduction in the performance objective of a project without a commensurate decrease in the time or cost objective is considered to be equivalent to an overrun. An increase in total estimated project cost resulting from the development of successively more reliable estimates prior to effective project approval is not considered a cost overrun.
  - *Treasury Board, Administrative Policy Manual, Chap 540 (Dec 86)*

dépassement

- Augmentation du temps ou du coût de réalisation d'un projet, après l'approbation effective de projet. Une réduction de l'objectif de performance d'un projet, sans une diminution proportionnelle du temps ou du coût de réalisation, est considérée comme l'équivalent d'un dépassement. Une augmentation du coût total estimatif de réalisation, à la suite de l'élaboration de prévisions fiables pour un projet n'ayant reçu qu'une approbation préliminaire, n'est pas considérée comme un dépassement de coût.
  - *Conseil du Trésor, Manuel de la politique administrative, chap. 540 (déc. 1986)*

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participating department • This is a department whose mandate, programs, or other responsibilities require it to undertake specific project responsibilities, or are affected by the project, and has so notified the sponsoring department. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**ministère participant** • Ministère qui, en vertu de son mandat, de ses programmes ou de ses autres responsabilités, doit assurer la mise en oeuvre de certains aspects du projet, ou qui constate que le projet touche à son mandat, à ses programmes ou à ses autres responsabilités, et qui en avise le ministère parrain. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
payback period • The estimated period of time required for cash flow from an investment to return the original cost of the investment. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**période de récupération** • Laps de temps nécessaire pour que le cumul des rentrées nettes de fonds attendues d'un projet permette d'en récupérer le coût. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
Peace Support Operations • A generic term, describing operations designed not to defeat an aggressor, as in the case of war, but rather to assist diplomatic and humanitarian activities to achieve a long-term political settlement. The five forms of peace support operations include preventive diplomacy, peacemaking, peacekeeping, peace-enforcement and post-conflict peace building. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Opérations de paix** • Expression générique qui décrit les opérations visant non pas à mettre un agresseur en échec, comme dans le cas d'une guerre, mais plutôt à appuyer les activités d'ordre diplomatique et humanitaire en vue d'un règlement politique à long terme. Les cinq types d'opérations de paix sont : la diplomatie préventive, le rétablissement de la paix, le maintien de la paix, l'imposition de la paix et la consolidation de la paix après le conflit. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Peace-building • Post-conflict action to identify and support measures and structures which will solidify peace and build trust and interaction among former enemies, in order to avoid a relapse into conflict. A component of peace-building is peace-implementation, which is the deployment of an international military presence in the field, hitherto with the consent of all the parties concerned, to implement	**Consolidation de la paix** • Mesures prises à la suite d'un conflit en vue de déterminer et d'appuyer les initiatives et structures qui viendront consolider la paix et instaurer la confiance et l'interaction chez d'anciens ennemis, prévenant ainsi un retour aux hostilités. Un élément de la consolidation de la paix est la mise en œuvre de la paix, qui consiste à déployer une présence militaire internationale sur le

the military provisions of a peace agreement. These operations are carried out under Chapter VII of the UN Charter; troops are more heavily armed than traditional peacekeepers and are authorized to use force beyond self-defence.

  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Peace-enforcement

- Operations carried out to restore peace between belligerent parties who do not all consent to intervention and who may be engaged in combat activities. These operations are carried out as a provisional measure under Chapter VII, Article 40 of the UN Charter. Troops are heavily armed and authorized to use force beyond self-defence. Peace-enforcement is distinct from enforcement under Chapter VII, Article 42 of the Charter, which deals with acts of aggression.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Peacekeeping

- The deployment of an international presence in the field, hitherto with the consent of all parties concerned, normally involving UN military and/or police personnel and frequently civilians as well. These operations are carried out under Chapter VI of the UN Charter; troops are lightly armed and are authorized to use force only in self-defence.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Peacemaking

- Action to bring hostile parties to a negotiated agreement through diplomacy, mediation, and such peaceful means as those foreseen in Chapter VI of the UN Charter.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

performance

- Performance is the accomplishment of actions that transform inputs (through process and activity) to outputs and outcomes. It includes the actions accomplished to create a condition in which there is a potential to perform (e.g. contingent capability).

performance framework

- The portion of the Planning, Reporting and Accountability Structure that provides the basis for the expressing performance expectations and for performance monitoring and reporting. It describes expected results, program reach and the resources used to achieve the results.

terrain, jusqu'ici avec le consentement de toutes les parties concernées, afin de mettre en œuvre les dispositions militaires d'un accord de paix. Ces opérations sont menées en vertu du chapitre VII de la Charte de l'ONU; les troupes sont plus lourdement armées que les casques bleus traditionnels et elles sont autorisées à recourir à une force qui dépasse celle permise aux fins de légitime défense.

  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Imposition de la paix

- Opérations menées en vue de rétablir la paix entre des parties belligérantes qui ne consentent pas toutes à une intervention et qui peuvent être engagées dans des activités de combat. De telles opérations sont exécutées à titre de mesure provisoire en vertu de l'article 40 du chapitre VII de la Charte de l'ONU. Les troupes sont lourdement armées et autorisées à recourir à une force qui dépasse celle permise aux fins de légitime défense. L'imposition de la paix diffère de l'action coercitive, qui est visée à l'article 42 du chapitre VII de la Charte et qui concerne plutôt les actes d'agression.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Maintien de la paix

- Déploiement d'une présence internationale sur le terrain, jusqu'ici avec le consentement de toutes les parties concernées, comprenant généralement des militaires et/ou agents de police de l'ONU et souvent des civils. Ces opérations sont menées en vertu du chapitre VI de la Charte de l'ONU; les troupes sont légèrement armées et autorisées à recourir à la force seulement aux fins de légitime défense.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Rétablissement de la paix

- Démarches entreprises pour amener des parties en conflit à une entente négociée, au moyen de la diplomatie, de la médiation et d'autres mesures pacifiques comme celles prévues au chapitre VI de la Charte de l'ONU.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

rendement

- Le rendement est la réalisation d'actions qui transforme les intrants (au moyen de procédés et d'activités) en extrants et impacts. Elle englobe les actions accomplies en vue de créer une situation favorable à la performance (p. ex., la capacité du contingent).

cadre de rendement

- La partie de la structure de planification, de rapport et de responsabilisation qui permet de formuler les attentes en matière de rendement, de contrôler le rendement et de préparer des rapports connexes. Le cadre de rendement décrit les résultats prévus, la portée du programme et les ressources utilisées pour atteindre les résultats.

performance indicator - An indicator is the quantification or qualification of a performance measure. One or more performance indicators may be needed depending on how hard it is to quantify a performance measure.	**indicateur de rendement** - Un indicateur est la quantification ou la qualification d'une mesure du rendement. Il faudra un ou plusieurs indicateurs de rendement, selon la difficulté de quantifier la mesure de rendement.
performance measures - Qualitative or quantitative attributes that must be measured in order to determine whether the expected results are being achieved. Some examples: capability; readiness; sustainability; deployability; timeliness; or customer satisfaction. They may be further analysed in terms of their composite elements such as personnel, equipment, policies, plans, doctrine and partnerships, and in terms of priority. These analysis elements may be further classified by subordinate levels.	**mesures du rendement** - Attributs qualitatifs ou quantitatifs qu'il faut mesurer afin de déterminer si les résultats prévus ont été atteints. Par exemple : la capacité, l'état de préparation, la soutenabilité, l'aptitude au déploiement, la rapidité d'exécution et la satisfaction de la clientèle. On peut approfondir l'analyse en fonction des éléments constitutifs (personnel, équipement, politiques, plans, doctrine et partenariat) et des priorités. Enfin, on peut pousser l'analyse davantage en fonction des niveaux subordonnés.
performance reports - Documents which provide the information necessary to judge how successful a program or business line has been in terms of accomplishing performance targets and commitments.	**rapports sur le rendement** - Documents qui fournissent l'information requise pour juger dans quelle mesure un programme ou un secteur d'activités a été efficace pour ce qui est de l'accomplissement des objectifs de rendement et des engagements.
performance standards - Specific quantitative targets and qualitative goals against which actual outputs or outcomes will be compared. An example might be satisfying 98% of supply requests on time.	**normes de rendement** - Cibles quantitatives et objectifs qualitatifs spécifiques à la lumière desquels on comparera les extrants et les impacts réels, par exemple satisfaire 98 p. cent des demandes d'approvisionnement dans les délais prescrits.
Personnel, Operations and Maintenance cost (P,O&M) - Standard costs of operating and maintaining the Department's personnel, equipment and facility resources. These are broken into four mutually exclusive cost categories: military personnel costs, civilian personnel costs, equipment operating costs, and facilities operating costs.	**coût de Personnel, Fonctionnement et Entretien** (P, F et E) - Coûts habituels liés au fonctionnement et au maintien des ressources du Ministère en matière de personnel, de matériel et d'installations. Ces coûts se répartissent en quatre catégories distinctes : coût du personnel militaire, coût du personnel civil, coût d'exploitation de l'équipement et coût d'exploitation des installations.
Planning, Reporting and Accountability Structure (PRAS) - The Department uses the Planning, Reporting and Accountability Structure (PRAS) as its principal strategic management and reporting framework. The PRAS provides a simple but accurate strategic-level view of the Department in terms of the Defence Mission, its internal business line divisions (the Capability Programs) and the Key Results to be achieved. By aligning these elements with the Department's resource management and accountability structures, the PRAS facilitates departmental planning, prioritization and decision-making by senior leadership. It also provides the overarching framework for the annual production of Departmental Planning Guidance and business plans, by linking Key Results to the Defence Tasks.	**Cadre de planification, de rapport et de responsabilisation** (CPRR) - Le Ministère utilise le Cadre de planification, de rapport et de responsabilisation (CPRR) comme principal cadre stratégique de gestion et de rapport. Le CPRR fournit un aperçu de niveau stratégique simple mais exact du Ministère en ce qui a trait à la mission de la Défense, à ses secteurs d'activités internes (les programmes de capacités) et aux résultats clés à atteindre. En harmonisant ces éléments avec les structures de gestion des ressources et de responsabilisation du Ministère, le CPRR aide la haute direction du Ministère en ce qui concerne la planification, l'établissement des priorités et la prise de décision. Il fournit également le cadre d'ensemble pour la production annuelle du Guide de planification de la Défense et des plans d'activités du Ministère, en établissant un lien entre les résultats clés et les tâches de la Défense.

- The Planning Reporting and Accountability Structure (PRAS) is the overarching framework through which all federal departments plan, report and account for their activities through Parliament to the people of Canada. This structure articulates the Defence Mission, the internal business line divisions (Capability Programs) and the Key Results which the Department is committed to achieving. This framework forms the basis of the Defence Plan and the Business Planning process by linking the Key Results to the Defence Tasks.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

- Le Cadre de planification, de rapport et de responsabilisation (CPRR) constitue le cadre global grâce auquel tous les ministères fédéraux planifient leurs activités, en font rapport et en répondent à la population canadienne par l'intermédiaire du Parlement. Il définit la mission de défense, les secteurs d'activité internes (programmes de capacités) et les résultats clés que le Ministère s'est engagé à obtenir. Ce cadre sert de base au Plan de la Défense et au processus de planification des activités en reliant les résultats clés aux tâches de défense.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

preproduction model

- An early sample of an item made by production methods, that is used for a complete evaluation of form, fit and performance to establish that the proposed methods are acceptable. Also known as a "prototype".
  - *NDHQ Policy Directive P7/85 (DND Research and Development), 3120-32/1243-23-4 (DGRD Pol) 18 Dec 85), updated by 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 Jan 91 and 9 Apr 91*

modèle de pré-série

- L'un des premiers échantillons d'un article fabriqué selon les méthodes de production qui sert à une évaluation complète de la forme, de l'installation et du rendement, ce qui permettra de déterminer si les méthodes proposées sont acceptables. Aussi désigné sous le nom de « prototype ».
  - *Directive P7/85 sur les politiques du QGDN, Recherche et développement au sein du MDN (3120-32/1243-23-4 (DGRD Pol) 18 déc. 1985), mise à jour par les 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 janv. 1991 et 9 avril 1991*

Preventive Diplomacy

- Action to prevent disputes from arising between parties and/or to prevent existing disputes from escalating into conflict. It can include a preventive deployment of forces, prior to the outbreak of conflict, to defuse tension, enhance confidence, and prevent minor incidents from escalating inadvertently to full-scale hostilities.
  - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Diplomatie préventive

- Mesures visant à éviter les différends entre les parties ou à empêcher qu'un différend ne dégénère en conflit. Il peut s'agir d'un déploiement préventif de forces, avant le déclenchement d'un conflit, en vue de désamorcer la tension, de renforcer la confiance et d'empêcher que des incidents mineurs ne dégénèrent, par inadvertance, en hostilités d'envergure.
  - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Probability

- Probability is the chance of occurrence. For the purposes of business planning, probability is identified as either: High – high likelihood of occurring in the fiscal year, and a near certainty in the planning period; Medium – little likelihood of occurring in the fiscal year, but likely to occur in the planning period; and Low – little likelihood of occurring in the fiscal year or the planning period.
  - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Probabilité

- Une probabilité est la possibilité qu'un événement se produise. Aux fins de la planification d'activités, la probabilité peut être: Forte – il est fort possible que l'événement se produise au cours de l'année financière et presque certain qu'il aura lieu durant la période de planification; Moyenne – il est peu probable que l'événement se produise au cours de l'année financière et possible qu'il se déroule durant la période de planification; Faible – il est peu probable que l'événement se produise au cours de l'année financière ou de la période de planification.
  - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

procurement review

- The government policy of using major procurement in support of materiel objectives. All projects in excess of $2M for goods and services will be appraised with a view to optimizing their socio-economic impact on Canada.

examen des acquisitions

- La politique gouvernementale visant l'utilisation des achats majeurs en appui aux objectifs en matière de matériel. Tous les projets dont la valeur des produits et services est supérieure à 2 millions de dollars seront évalués de façon à optimiser leur incidence socio-économique sur le Canada.

procurement strategy

- This is the process that defines and plans the procurement of goods and services to satisfy a department's needs or solve an operational problem. It sets out the procurement approach to be used, adhering to requirements of government procurement policies. The development of a procurement strategy is primarily the responsibility of PWGSC.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

stratégie d'approvisionnement

- Définition et planification de l'approvisionnement en biens et services en vue de répondre aux besoins ministériels ou de résoudre un problème opérationnel. La stratégie établit l'approche d'approvisionnement à utiliser, conformément aux exigences des politiques gouvernementales en matière d'approvisionnement. L'élaboration d'une stratégie d'approvisionnement relève principalement de TPSGC.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

production model

- An item in its final form of production design made by production tools, jigs, fixtures and methods. It employs standard parts (or non-standard parts approved by the agency concerned).
    - *NDHQ Policy Directive P7/85 (DND Research and Development), 3120-32/1243-23-4 (DGRD Pol) 18 Dec 85), updated by 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 Jan 91 and 9 Apr 91*

modèle de série

- Article dans sa forme de production finale, fabriqué au moyen des outils, gabarits, appareils fixes et méthodes de production. Il est constitué de pièces standard (ou de pièces non standard approuvées par l'organisme intéressé).
    - *Directive P7/85 sur les politiques du QGDN, Recherche et développement au sein du MDN (3120-32/1243-23-4 (DGRD Pol) 18 déc. 1985), mise à jour par les 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 janv. 1991 et 9 avril 1991*

program

- A group of related departmental activities designed to achieve specific objectives. In this manual the capitalized term "Program" refers to the Defence Services Program. The term "program" is used to describe any group of resources and activities, and their related direct outputs, undertaken pursuant to a given objective or set of objectives and administered by a department or agency of the government. Within DND, examples of programs are: the Capital Equipment program; Construction program; and Research and Development program.
    - *Project Management Principles and Policies for the Department of National Defence, 8000-1(VCDS) 31 Jul 91 (approved at PCB 01/92, 5 Feb 92, Item V), updated 1999-05-01*

programme

- Groupe d'activités ministérielles connexes visant l'atteinte d'objectifs précis. Le terme « Programme » (avec un p majuscule) se rapporte au Programme des services de la Défense. Le terme « programme » (p minuscule) sert à désigner tout ensemble de ressources et d'activités, et leurs extrants immédiats, qui est réalisé conformément à un objectif ou à une série d'objectifs donnés et qui est géré par un ministère ou un organisme gouvernemental. Voici quelques exemples de programmes au MDN : le programme d'immobilisations, le programme de construction et le programme de recherche et de développement.
    - *Gestion de projet : Principes et politiques à l'intention du ministère de la Défense nationale, juillet 1991, approuvé par le CCP 01/92 le 5 février 1992 (point no V) mise à jour par 1999-05-01*

program evaluation

- The periodic, independent and objective review and assessment of a program to determine, in light of present circumstances, the adequacy of its objectives, its design, and its results, both intended and unintended. See evaluation.
    - *Treasury Board, Policy on Internal Audit, 2001-04-01*

évaluation de programme

- Évaluation qui consiste en un examen et une évaluation périodiques, impartiaux et objectifs d'un programme ayant pour but d'établir, à la lumière des circonstances actuelles, dans quelle mesure ses objectifs, sa conception et ses résultats tant prévus qu'imprévus sont satisfaisants. Voir évaluation.
    - *Conseil du Trésor, Politique de vérification interne, 2001-04-01*

Program Guidance Memorandum (PGM)

- One of an ongoing document series which provide a mechanism for the promulgation of non-permanent instructions or information affecting the Defence Services Program, amplification of Program Management Board decisions/directives, advance notice of forthcoming changes to DMS Manual, etc.
    - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Note de service destinée à servir de guide sur le programme (NGP)

- Document servant à promulguer des instructions temporaires ou à donner des renseignements concernant le Programme des services de la Défense, à étoffer les directives et les décisions de la Comité de gestion du programme, à donner des avis de modifications ultérieures au manuel du Système de gestion de la Défense, etc.
    - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

program management - The process by which the Department determines the requirements for and controls applied to capital, personnel, operations and maintenance, and grants and contributions expenditures under the Defence Services Program. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**gestion de programme** - Processus employé par le Ministère pour définir les besoins en ce qui a trait aux dépenses liées aux immobilisations, au personnel, au fonctionnement et à l'entretien ainsi qu'aux subventions et aux contributions dans le cadre du Programme des services de la Défense, et pour déterminer les contrôles à exercer sur ces dépenses. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
programming - A planning technique by which management is provided with the total current and future resource implications of alternative courses of action, enabling the selection of the one best suited to the requirement.	**programmation** - Technique de planification qui permet à la direction de connaître toute la portée des solutions de rechange, en termes d'engagement immédiat et ultérieur de ressources, et de choisir la voie qui convient le mieux pour répondre à un besoin.
project - A set of activities required to produce certain defined outputs, or to accomplish specific goals or objectives, within a defined schedule and resource budget. A project exists only for the duration of time required to complete its stated objectives. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**projet** - Ensemble d'activités requises pour produire des extrants définis ou pour atteindre des buts ou des objectifs particuliers, dans les délais prescrits et dans les limites des ressources budgétaires allouées. Le projet n'existe que pendant la période nécessaire à l'atteinte des objectifs fixés. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
project book - A document by which Treasury Board is kept informed of the progress of a Major Crown Project. It is maintained by the Treasury Board Secretariat from data submitted by or for the ministers of client departments.	**cahier de projet** - Document qui tient le Conseil du Trésor au courant des progrès des grands projets de l'État. Il est tenu à jour par le Secrétariat du Conseil du Trésor et se compose de renseignements présentés par les ministres des ministères clients ou en leur nom.
project brief - A document presented to Treasury Board under cover of a Treasury Board submission, seeking preliminary or effective project approval. It provides the pertinent project management information in support of the proposals contained in the covering submission.	**énoncé de projet** - Document annexé à la présentation au Conseil du Trésor en vue de demander l'approbation préliminaire ou effective de projet. Il contient les renseignements pertinents au sujet de la gestion du projet qui expliquent les propositions énoncées dans la présentation.
project charter - The project document initiated and maintained by the Project Leader which establishes the mandate for a project organization.	**charte du projet** - Document préparé et mis à jour par le chef du projet, établissant le mandat d'une organisation de projet.
project close-out - This activity consists of the commissioning of the end-product of the project (or the last site/end-item in a multi-site/end-item project); the clearance of remaining deficiencies (or the acceptance by the departmental maintenance authority of responsibility for residual deficiencies); and the completion of the project completion report and any related staff activity. Normally, the project management office is disbanded at the completion of the project close-out phase. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**clôture du projet** - Cette activité se compose de ce qui suit : la mise en service du produit final du projet (ou du dernier emplacement/élément final dans un projet à plusieurs emplacements/éléments finals); la correction des dernières lacunes (ou l'acceptation, par l'autorité ministérielle chargée de l'entretien, de la responsabilité à l'égard des dernières lacunes); et la rédaction du rapport d'achèvement de projet et la réalisation de toute autre activité d'état-major afférente. Habituellement, le bureau de gestion de projet est démantelé à la fin de la phase de clôture du projet. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project completion report • The Project Completion Report formally documents the project outcomes/performance against the approved project goals and objectives. To support management renewal/change it contains an important section on "lessons learned".	**rapport d'achèvement du projet** • Le rapport d'achèvement du projet est un compte rendu officiel des résultats et du rendement du projet, à la lumière des buts et objectifs approuvés. Afin d'appuyer le renouvellement des procédures de gestion, ce rapport renferme une importante section consacrée aux «leçons apprises».
project definition phase • The precise determination, through detailed study and analysis, of the resources required to achieve project aims. This is a distinct phase of the project life cycle. Its purpose is to establish sound objectives, refine the implementation phase estimate (which may include design and property acquisition costs), reduce project risk, and support development of an item that will be part of the end-product of the project. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**phase de définition du projet** • Phase qui comprend la détermination précise, au moyen d'études et d'analyses détaillées, des ressources requises pour atteindre les buts du projet. Il s'agit d'une phase distincte du cycle de vie du projet. Elle vise à établir des objectifs valables, à préciser davantage l'estimation de la phase de mise en oeuvre (qui pourrait inclure les coûts de conception et d'acquisition de biens), à réduire les risques associés au projet, et à soutenir la mise au point d'un article qui fera partie du produit final du projet. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
project development phase • This phase involves the conduct of an option/impact analysis to examine the various means of achieving the required capability in sufficient detail to permit the correct choice of the preferred option.	**phase de développement du projet** • Phase qui comprend la conduite d'une analyse des options et des répercussions afin d'évaluer les différents moyens d'atteindre la capacité requise d'une manière suffisamment détaillée pour permettre le choix de l'option appropriée.
project direction • The exercise of the functional authority for the operational requirement of the project, the overall guidance and coordination of activities during the sponsor leadership period of the project, and the provision of guidance, as appropriate, to the Project Manager throughout the life of the project.	**direction du projet** • Administration de l'autorité fonctionnelle associée au besoin opérationnel du projet, soit la direction et la coordination globales des activités pendant la période où le promoteur du projet assume la direction, ainsi que l'orientation (s'il y a lieu) de l'administrateur du projet au cours du cycle de vie du projet.
project director • The project sponsor's working representative, providing guidance and direction for other working level staffs on matters relating to project aims.	**directeur de projet** • Il s'agit du représentant du parrain du projet au niveau opérationnel. Le directeur de projet assure l'encadrement et l'orientation des autres officiers d'état-major au niveau opérationnel pour ce qui est des objectifs du projet.
project identification phase • The first project phase in the Defence Management System. It leads to the identification of a deficiency in existing or future capabilities and links future project activity to established policy. It continues with the identification of potential solutions (including rough order of magnitude costs) for the stated capability deficiency.	**phase d'identification du projet** • La première phase d'un projet au sein du Système de gestion de la Défense. Elle mène à l'identification d'une insuffisance dans les capacités actuelles ou futures, et relie les activités futures de projet aux politiques en vigueur. Par la suite, on identifie les solutions potentielles (en incluant l'ordre de grandeur approximatif des coûts) pour l'insuffisance relevée.
project implementation • This is the phase of the project, usually following a project definition phase, in which the full objectives of the project are to be achieved. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**mise en oeuvre du projet** • Il s'agit de la phase du projet, venant habituellement à la suite de la phase de définition du projet, pendant laquelle on réalise pleinement les objectifs du projet. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project implementation phase - The final phase of the Defence Management System. It corresponds to the acquisition stage of the Life Cycle Management System.	**phase de mise oeuvre du projet** - La dernière phase du Système de gestion de la Défense. Elle correspond à l'étape d'acquisition du Système de gestion du cycle de vie du matériel.
project implementation plan - An implementation plan which outlines the responsibility of each Project Officer and is coordinated by the Project Manager.	**plan de mise en oeuvre du projet** - Plan décrivant les responsabilités attribuées à chaque officier de projet; la coordination du plan est assurée par l'administrateur de projet.
project implementor - The Group Principal of the organization that implements the project to address the identified capability deficiency. ○ *Project Management Principles and Policies for the Department of National Defence, 8000-1(VCDS) 31 Jul 91 (approved at PCB 01/92, 5 Feb 92, Item V), updated 1999-05-01*	**réalisateur du projet** - Chef de groupe appartenant à l'organisation qui met en œuvre le projet destiné à remédier à l'insuffisance sur le plan des capacités. ○ *Gestion de projet : Principes et politiques à l'intention du ministère de la Défense nationale, juillet 1991, approuvé par le CCP 01/92 le 5 février 1992 (point no V) mise à jour par 1999-05-01*
project leader - This is the person appointed by the sponsoring Level One Organization to be accountable for all external and internal aspects of a project. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**chef de projet** - Personne que l'organisation de niveau un qui est le promoteur du projet a chargé de rendre compte de tous les aspects internes et externes d'un projet. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
project management - Project management is the systematic planning, organizing and controlling of allocated resources to accomplish project cost, time and performance objectives. Project management is normally reserved for focused, non-repetitive, time-limited activities with some degree of risk and that are beyond the usual scope of program (operational) activities for which the organization is responsible. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**gestion de projet** - Planification, organisation et contrôle systématiques des ressources affectées en vue de l'atteinte des objectifs du projet en matière de coûts, de délais et de rendement. La gestion de projet est normalement réservée aux activités ciblées, non répétitives et d'une durée déterminée, qui présentent un certain niveau de risque et qui sortent du cadre habituel des activités (opérationnelles) du programme dont l'organisation est responsable. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
project management office - This is a distinct and temporary organizational unit led by the project manager tasked to administer a project. It consists of assigned full or part-time members of the sponsoring department and, when appropriate, representatives of participating departments working together in accordance with any interdepartmental agreements or MOUs. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**bureau de gestion de projet** - Unité organisationnelle distincte et temporaire dirigée par le gestionnaire de projet chargé d'administrer un projet. Elle comprend des membres à temps plein ou à temps partiel affectés par le ministère parrain et s'il y a lieu, des représentants des ministères participants dont la collaboration s'inscrit dans les ententes interministérielles ou les PE. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
project management or charter agreement - This is a document that sets out the responsibilities, delegated authorities, and allocated resources of the project manager.	**entente ou charte de gestion du projet** - Document qui précise les responsabilités du gestionnaire du projet, les pouvoirs qui lui sont délégués et les ressources qui lui sont affectées.

Project Management Personnel Requirements (PMPR)

- Unit of measure of the human resource (HR) that may be utilized to prosecute a project. May be civilian personnel and will be expressed in dollar terms as well as Full Time Equivalents. May also be military personnel and will be expressed in dollar terms as well as rank and Military Occupation. PMPRs may be denoted as Vote 1 or Vote 5 in accordance with the source of funding for the project. The number of PMPRs consumed by a project is regulated by Program Management Board.
  - *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Ressources en personnel pour la gestion de projet (RPGP)

- Unité de mesure des ressources humaines (RH) auxquelles ont pourra avoir recours afin de réaliser un projet. Si on fait référence à des membres du personnel civil, cette unité de mesure s'exprimera en dollars ainsi qu'en équivalents temps plein. Il peut également être question de membres du personnel militaire; dans ce cas, l'unité de mesure s'exprimera en dollars ainsi qu'en grades et en groupes professionnels militaires. Les RPGP peuvent être inscrites en tant que crédit 1er ou crédit 5, en fonction de la source de financement du projet. Le nombre de RPGP que peut utiliser un projet est réglementé par le Conseil de gestion de programme.
  - *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

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project manager

- This is a person formally appointed to manage a project with specific accountability for achieving defined project objectives within allocated resources. A project manager has access to, and a formally defined relationship with, the project leader to which the specific project has been assigned.
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

gestionnaire de projet

- Il s'agit de la personne officiellement chargée de gérer un projet, ayant la responsabilité particulière de la réalisation des objectifs du projet dans les limites des ressources allouées. Le gestionnaire du projet a accès au chef du projet auquel le projet en cause a été alloué, avec lequel il a des relations définies officiellement.
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

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project objectives

- These are the measurable goals of a project. They are sub-divided into cost; schedule, technical performance; industrial and regional benefits; and other national objectives (such as protection of the environment).
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

objectifs de projet

- Il s'agit des objectifs mesurables d'un projet. On les répartit comme suit : les objectifs en matière de coûts, de calendrier, de rendement technique, de retombées industrielles et régionales, ainsi que les autres objectifs nationaux (tels que la protection de l'environnement).
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

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project officer

- An officer appointed to perform specialist functions in support of a project, and who responds to the needs of the Project Director and/or Project Manager.

officier de projet

- Personne chargée d'exécuter des fonctions spécialisées en appui à un projet, et qui répond aux demandes du directeur ou de l'administrateur du projet.

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project planning

- This is the initial phase of the project life cycle during which the sponsoring department establishes the operational need(s), produces the statement of operational requirements, conducts initial options analyses and feasibility studies, sets up appropriate management framework and agreements, assigns resources and makes an initial assessment of project risk.
  - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

planification de projet

- Il s'agit de la phase initiale du cycle de vie d'un projet durant laquelle le ministère parrain établit le (ou les) besoin(s) opérationnel(s), élabore l'énoncé des exigences opérationnelles, effectue les premières analyses des solutions de rechange et études de faisabilité, met en place les cadres de gestion et les ententes appropriés, affecte les ressources et réalise une évaluation initiale des risques du projet.
  - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

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project profile and risk assessment (PPRA)

- This is the assessment of overall project risk based on a determination of the risks associated with each project element. Treasury Board is the final authority for the risk-level decision. The project leader, in consultation with any participating departments, the contracting authority, and Treasury Board Secretariat (if appropriate) assesses at what level Treasury Board would deem the risk to be.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

Profil de projet et évaluation des risques associés au projet (PPER)

- Évaluation globale des risques que comporte un projet, fondée sur la détermination des risques associés à chaque élément du projet. Le Conseil du Trésor a le pouvoir final de décision pour ce qui est de la détermination du niveau de risque d'un projet. Le chef de projet, de concert avec les ministères participants, l'autorité contractante et le Secrétariat du Conseil du Trésor (s'il y a lieu), évalue le niveau de risque selon les critères du Conseil du Trésor.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project risk

- This is the likelihood that the objectives of a project will not be met or that unacceptable outcomes will arise during a project's life cycle. As well as cost, schedule and performance objectives, elements of risk can pertain to damage and loss, or environmental, political, social or other aspects of a project.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

risques associés au projet

- La probabilité que les objectifs de projet ne seront pas atteints ou que des résultats inacceptables se produisent durant le cycle de vie du projet. Les risques ne visent pas seulement les objectifs en matière de coûts, de calendrier et de rendement, mais aussi la possibilité de dommages et de pertes, ainsi que d'autres aspects du projet, d'ordre environnemental, politique, social ou autre.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project risk identification

- This is a methodical examination of each element of a project during its life cycle to determine its associated perils, hazards, modes of failure and adverse outcomes that could arise during the project life cycle. Project risk is the aggregate of the risks associated with each element.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

détermination des risques

- Examen méthodique de chaque élément du projet pour toute sa durée de vie, afin de déterminer les dangers connexes, les défaillances ou les résultats non souhaitables qui pourraient survenir durant le cycle de vie du projet. Le risque associé au projet est la somme des risques associés aux divers éléments.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project risk level

- This is an overall risk level assigned for the project life cycle at the time that a risk assessment is conducted. It is assigned by comparing the project with completed projects. The relative risk level is as follows: low risk - it is highly likely that objectives will be met, and adverse outcomes are unlikely; medium risk - the likelihood that objectives will be met and adverse outcomes will arise is comparable with that for relatively successfully completed projects for which management experience and lessons-learned are available; high risk - due to project specific factors, it is likely that, without a rigorous project management framework, significant adverse outcomes may arise or that project objectives will not be met.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

niveau de risque du projet

- Il s'agit d'un niveau de risque global pour le cycle de vie du projet. On le détermine en comparant le projet à des projets déjà terminés au moment de l'évaluation des risques. Les niveaux de risque relatif se définissent comme suit : risque faible - il est fort probable que l'on atteindra les objectifs et il est peu probable qu'il y ait des résultats non souhaitables; risque moyen - la probabilité d'atteindre les objectifs et d'obtenir des résultats non souhaitables est comparable à celle d'autres projets terminés avec un succès relativement élevé qui ont permis d'acquérir de l'expérience de gestion et qui ont donné des enseignements utiles; risque élevé - en raison de facteurs propres au projet, il est probable que, sans un cadre de gestion rigoureux, d'importants résultats non souhaitables se produiront; ou qu'on n'atteindra pas les objectifs du projet.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project scope

- The project scope is defined by the boundaries of the project that are the limits within which critical objectives are to be achieved and accountability assessed.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

portée du projet

- La portée du projet est définie par les limites du projet, soit les limites à l'intérieur desquelles il faut atteindre les objectifs essentiels et assumer la responsabilité.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

project sponsor

- The Level One Advisor of the organization that initiates a Synopsis Sheet (Identification).
    - *Project Management Principles and Policies for the Department of National Defence, 8000-1(VCDS) 31 Jul 91 (approved at PCB 01/92, 5 Feb 92, Item V), updated 1999-05-01*

promoteur de projet

- Au sein de l'organisation, conseiller de niveau un qui est à l'origine d'une Feuille de synthèse (Identification).
    - *Gestion de projet : Principes et politiques à l'intention du ministère de la Défense nationale, juillet 1991, approuvé par le CCP 01/92 le 5 février 1992 (point no V) mise à jour par 1999-05-01*

project, information technology

- An Information Technology project refers to an aggregate package of activities leading to the implementation of an information technology application in the scientific, technological and engineering disciplines as well as to the management technologies used in information handling, communications, and processing. It covers both software development and hardware and software acquisition. It also applies to the replacements of and enhancements to existing applications, and to information technology components of larger projects.

projet de technologie de l'information

- Ensemble des activités menant à la mise en oeuvre d'une application de technologie de l'information dans les domaines scientifiques, technologiques et techniques ainsi qu'à l'utilisation de techniques de gestion pour la manipulation, la communication et le traitement de l'information. Ce type de projet comprend l'élaboration de logiciels et l'acquisition de matériel et de logiciels. Il s'applique également au remplacement et à l'amélioration des applications existantes.

project, lease

- A lease project is a project that involves predominantly a lease as a means of obtaining the use of a capital asset over an extended period of time (normally at least five years). The ownership of the capital asset (frequently real property) is retained by the private sector.

projet de location

- Projet qui consiste essentiellement à conclure un bail pour obtenir le droit d'utiliser une immobilisation sur une longue période (habituellement au moins cinq ans). L'entreprise privée demeure propriétaire de l'immobilisation (souvent un bien immobilier).

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Important Notices

National Defence Défence nationale

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& Management

DP&M Home »

Lexicon of Definitions

Lexicon of
- Definitions
- Abbreviations

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Search/Recherche

List of Abbreviations

English	Français
reach • The beneficiaries of a program/service/policy. Reach at the output level is generally specific and can be enumerated (e.g. Department of Fisheries and Oceans benefits from CF maritime surveillance activities). The reach of the broader outcome level of results refers to the ultimate beneficiaries such as a sector of the economy or all Canadians. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**portée** • Les bénéficiaires d'un programme, d'un service ou d'une politique. La portée sur le plan des résultats est généralement spécifique et peut être énumérée (p. ex., le ministère des Pêches et Océans bénéficie des activités de surveillance des forces maritimes). La portée sur le plan des résultats généraux renvoie aux bénéficiaires finaux, tels qu'un secteur de l'économie ou l'ensemble des Canadiens. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
readiness • The level of preparedness (materiel, personnel) to respond to the risk described in a scenario or to an actual emergent operation. A state of readiness can be increased over time through recruiting, training or increased materiel capability. A reduced state of readiness is maintained to reduce the wear and tear on personnel and equipment and to reduce costs. Applicable readiness states are: High, Normal, Reduced, and Mobilization. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**état de préparation** • Le niveau de préparation (matériel, effectifs) requis pour confronter le risque décrit dans un scénario ou une nouvelle opération réelle. On peut accroître un état de préparation opérationnelle avec le temps grâce au recrutement, à l'instruction ou à une capacité matérielle accrue. On maintient un état de préparation réduit afin de ralentir l'usure du personnel et du matériel et pour minimiser les coûts. Les états en vigueur sont : Haut, Normal, Réduit et Mobilisation. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Readiness State • Identifies the overall operational capability required to perform a task, and is assigned to a unit or formation by the responsible Commander using the five components of personnel, equipment, training, service support and command and control. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**État de préparation opérationnelle** • Capacité opérationnelle globale qui est requise pour exécuter une tâche et que le commandant responsable attribue à une unité ou à une formation en fonction des cinq critères suivants : effectif, matériel, instruction, services de soutien et dispositif de commandement et de contrôle. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

recurring capital project • Equipment items that are required to support on-going activities and which require annual acquisition in the same way as does operations and maintenance materiel.	**projet d'immobilisations périodique** • Acquisition d'articles d'équipement nécessaires au soutien des activités courantes, qu'il faut se procurer annuellement de la même façon que le matériel destiné au fonctionnement et à l'entretien.
recurring operations and maintenance costs • The recurring costs attributed to operating and maintaining a project or system.	**frais périodiques de fonctionnement et d'entretien** • Les frais périodiques imputables au fonctionnement et à l'entretien d'un projet ou d'un système.
reference level • The amount of resources (financial or FTEs) that have been approved by the Treasury Board to carry out approved policies and programs. Reference levels are provided on a planning element basis as well as for each program as a whole, for each year of the planning period. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**niveau de référence** • Ensemble des ressources financières et des années-personnes qui ont été approuvées par le Conseil du Trésor pour la mise en oeuvre des politiques et des programmes approuvés. Pour chaque année de la période de planification, on précise les niveaux de référence associés à chaque élément de planification, ainsi qu'à chaque programme dans son ensemble. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
Report on Plans and Priorities (RPP) • The reports which provide departmental estimates information to Parliament on departmental plans and expected performance. They generally include information such as mission/mandate, objectives, strategies and programs, inputs, activities, outputs, outcomes, and performance measures. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Rapport sur les plans et les priorités** (RPP) • Rapport qui fournit au Parlement des renseignements estimatifs sur les plans et le rendement escompté du Ministère. Il contient généralement de l'information sur la mission et le mandat, les objectifs, les stratégies et les programmes, les intrants, les activités, les extrants, les impacts et les mesures du rendement. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
requisition • The legal document which requests Public Works and Government Services Canada, or Defence Construction Canada to obtain materiel or services on behalf of the Department of National Defence, and results in the commitment of departmental funds.	**demande** • Document juridique employé pour demander à Travaux publics et Services gouvernementaux Canada ou à Construction de Défense Canada d'acquérir des biens ou des services pour le compte du ministère de la Défense nationale. Ce document entraîne l'engagement de crédits du Ministère.
research • All scientific and technological study and experimentation directed toward increasing knowledge and understanding in those fields of the physical, engineering, environmental and life sciences related to long-term national security needs. Research provides fundamental knowledge required for the solution of military problems, and forms a part of the knowledge base for: subsequent exploratory and advanced developments in defence-related technologies, and new or improved military capabilities in areas such as communications, detection, tracking, surveillance, propulsion, mobility, command and control, navigation, energy conversion, materials and structures, and personnel support. ○ *NDHQ Policy Directive P7/85 (DND Research and Development), 3120-32/1243-23-4 (DGRD Pol) 18 Dec 85), updated by 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 Jan 91 and 9 Apr 91*	**recherche** • Toutes les études et expérimentations scientifiques et technologiques visant l'augmentation des connaissances et de la compréhension dans les domaines de la physique, de l'ingénierie, de l'environnement et des sciences de la vie liés aux besoins en matière de sécurité nationale à long terme. La recherche fournit les connaissances fondamentales requises pour la résolution de problèmes militaires, et constitue une partie des connaissances de base nécessaires: aux études préliminaires de développement et aux expérimentations subséquentes sur les technologies liées à la défense; aux capacités militaires nouvelles ou améliorées dans des domaines tels que les communications, la détection, la poursuite, la surveillance, la propulsion, la mobilité, le commandement et le contrôle, la navigation, la conversion énergétique, les matériaux et les structures, ainsi que le soutien du personnel. ○ *Directive P7/85 sur les politiques du QGDN, Recherche et développement au sein du MDN (3120-32/1243-23-4 (DGRD Pol) 18 déc. 1985), mise à jour par les 2921-A-AD-125-000/FP-001 (DRDP Con 2) 31 janv. 1991 et 9 avril 1991*

research and development costs

- Within the context of project Synopsis Sheet staffing procedures, research and development costs are those resource expenditures for studies, prototype development, modelling, etc, to determine the feasibility and practicality of the proposal.

Residual Risk

- Residual risk is the risk remaining after mitigation strategies.
    - ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

resources

- The personnel, materiel, machinery, facilities and capital required to accomplish a task.

Response Time

- The time between issuance of a warning order and the requirement for a tasked element to be ready to respond. This time is measured in minutes, hours or days and is based on having the element ready at the appropriate level of operational capability in its normal location. It does not include transit time to the area of operations.
    - ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

revenue dependency

- One of the funding methods used in the federal government whereby an organization must fully cost its operations, including all direct, indirect, and overhead expenses, and recover these costs from its clients through fees and charges for services rendered and goods procured. Recovery of capital costs over the useful life of major investments would be expected as well.
    - ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*

Risk

- Risk is the probability that a decision or action will result in a negative or unwanted consequence, where the probability of each possible outcome is known or can be estimated.
    - ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Risk Assessment

- Risk assessment is the identification of the critical factors that will affect the successful completion of a tasking. It includes risk analysis and the development of strategies to respond to risk. For the purposes of business planning, it should be kept simple and at the macro level.
    - ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

frais de recherche et de développement

- Dans le contexte du traitement des Feuilles de synthèse, les frais de recherche et de développement sont les ressources affectées aux études, à la mise au point de prototypes, à l'établissement de scénarios, etc., afin de déterminer si une proposition est réalisable et pratique.

Risque résiduel

- Le risque résiduel est le risque qui reste après avoir appliquer des stratégies d'atténuation.
    - ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

ressources

- Le personnel, le matériel, les machines, les locaux, l'espace et les capitaux requis pour accomplir une tâche.

Délai d'intervention

- Intervalle entre la délivrance d'un ordre d'avertissement et la nécessité, pour l'élément à qui la mission a été confiée, d'être prêt à intervenir. Le délai se calcule en minutes, en heures ou en jours et se fonde sur l'atteinte du niveau de préparation voulu dans la localité habituelle. Il n'inclut pas le trajet jusqu'au secteur des opérations.
    - ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

autofinancement

- Une des méthodes de financement utilisée au gouvernement fédéral selon laquelle une organisation doit établir de manière exhaustive ses dépenses de fonctionnement, y compris les frais directs, indirects et généraux, et récupérer ces montants grâce aux frais et droits obtenus en contrepartie des biens et services qu'elle fournit à ses clients. On s'attend aussi à la récupération des frais de premier établissement au cours de la durée utile des principaux investissements.
    - ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

Risque

- Un risque, c'est la possibilité qu'une décision ou une mesure ait des conséquences négatives ou non désirées lorsque les probabilités associées à chaque résultat possible sont connues ou peuvent être prévues.
    - ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Évaluation des risques

- L'évaluation des risques se rapporte à la détermination de facteurs critiques qui auront des répercussions sur l'accomplissement d'une tâche donnée. Elle comprend l'analyse des risques et l'élaboration de stratégies pour contrer ces risques. Aux fins de la planification des activités, on devrait garder la gestion des risques la plus simple possible et au niveau de l'organisation.
    - ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Risk Factor

- A risk factor is a circumstance or environment that affects the level of risk that a tasking will be successfully completed. For the purposes of business planning, these are either internal or external risk factors.
    - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Risk Management

- Risk management "is the systematic approach to setting the best course of action under uncertainty by identifying, assessing, understanding, acting on and communicating risk issues." (Treasury Board). It involves implementing strategies to manage identified risks and designing contingency plans to supplement these strategies when these risks occur. The goal of risk management is to protect the Government of Canada and the DND/CF by minimizing losses without overprotecting assets, balancing the costs of risk management with its benefits.
    - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Risk Management Strategies

- There is no set formula for determining the perfect risk management strategy. The selection of an appropriate strategy is driven by existing risk factors and cost/benefit analysis. Typical risk management strategies are: Risk avoidance - a plan to eliminate all risk. Usually selected when both severity and probability are highly unfavourable; Risk reduction - a plan to reduce but not eliminate all risk; Risk transfer/sharing - a plan to reduce risk through sharing with another stakeholder or transferring responsibility for consequences; and Risk retention - a plan to take no specific action to offset an identified risk. May be selected when both severity and probability are minor/low, and there is minimal cost associated with the occurrence of the event.
    - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Risk Tolerance Level

- The risk tolerance level, for the purposes of business planning, is that level of risk that the Senior Manager is prepared to accept. Criteria to establish the threshold for the risk tolerance level vary from issue to issue, and from organization to organization.
    - *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*

Facteur de risque

- Un facteur de risque est une circonstance ou un environnement qui aggravera les risques liés à l'exécution d'une tâche donnée. Aux fins de la planification des activités, ces facteurs sont soit internes soit externes.
    - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Gestion des risques

- La gestion des risques est une « une approche systématique servant à déterminer la meilleure voie à prendre en cas d'incertitude en identifiant, en évaluant, en comprenant, en communiquant les questions liées aux risques et en prenant des mesures à leur égard.» (Conseil du Trésor). Elle comporte également l'élaboration de stratégies permettant de gérer les risques connus et la conception de plans de contingence pour renforcer ces stratégies lorsque ces risques se concrétisent. La gestion des risques a pour objet de protéger le gouvernement du Canada ainsi que le MDN et les FC en minimisant les pertes sans pour autant surprotéger les ressources, établissant un équilibre entre les coûts liés à la gestion des risques et les avantages de celle-ci.
    - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Stratégies de gestion des risques

- Il n'y a pas de formule établie pour élaborer la stratégie parfaite de gestion des risques. La sélection d'une stratégie appropriée se fait à la lumière des facteurs de risque existants et de l'analyse coûts-avantages. Les stratégies typiques de gestion des risques sont les suivantes : technique permettant d'éviter les risques - un plan visant à éliminer tous les risques. Cette technique est généralement choisie lorsque la gravité et la probabilité sont toutes les deux très défavorables; réduction des risques – un plan pour réduire les risques, sans toutefois les éliminer totalement; transfert/partage des risques – un plan pour réduire les risques en les partageant avec un autre intervenant ou en en transférant la responsabilité en matière de conséquences. conservation des risques – un plan qui ne prévoit la prise d'aucune mesure pour contrer un risque précis; cette stratégie peut être sélectionnée lorsque la gravité est minime, que la probabilité est faible et que le coût lié à l'événement est minimal.
    - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

Niveau de tolérance du risque

- Dans le contexte de la planification des activités, le niveau de tolérance du risque se rapporte au niveau que le cadre supérieur est prêt à accepter. Les critères d'établissement du niveau minimal de tolérance du risque varient selon les cas et les organisations.
    - *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

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Important Notices

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Lexicon of Definitions

Lexicon of

- Definitions
- Abbreviations

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Search/Recherche

List of Abbreviations

English	Français
Scenario • An outline of a planned series of events (real or imagined) including specifications as to the various scenes and situations, cast of characters and detailed direction for the stage settings and the development of events. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Scénario** • Description d'une série d'événements planifiés (réels ou inventés), notamment les spécifications relatives aux différentes scènes et situations, les personnages et les directives détaillées en ce qui concerne les décors et le déroulement des événements. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Scenario Based Capability Planning • Based on assessments of the external and internal environments at various points into the future, scenarios of capability output requirements are identified and established upon which plans are developed and resources assigned. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Planification des capacités fondée sur les scénarios** • En se fondant sur des évaluations des conditions externes et internes à divers moments dans l'avenir, on distingue et définit des scénarios relativement aux exigences en ce qui concerne l'impact des capacités, donnant lieu à l'élaboration de plans et à l'affectation de ressources. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
senior project advisory committee (SPAC) • This is the interdepartmental senior-level forum for considering appropriate steps to orient a major project to achieve relevant national objectives. When appropriate, the SPAC stimulates agreements between the sponsoring department and relevant participating departments, and acts as a forum for the resolution of issues that arise. For a project deemed to be an MCP, the SPAC is chaired by the project leader, and is to provide a forum for the review and discussion of project objectives, requests for proposals and other key project instruments. The SPAC performs the role of procurement review that is accomplished by the Procurement Review Committee (PRC) for projects of value less than $100M. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**comité consultatif supérieur de projet** (CCSP) • Le CCSP est le forum interministériel où la haute direction examine la marche à suivre pour orienter un grand projet en vue d'atteindre les objectifs nationaux pertinents. Le cas échéant, le CCSP incite le ministère parrain et les ministères participants concernés à conclure des ententes, et sert de forum pour la résolution des questions soulevées. Lorsqu'il s'agit d'un projet considéré comme un grand projet de l'État, le CCSP est présidé par le chef de projet et il constitue le forum pour l'examen et la discussion des objectifs du projet, des demandes de proposition et d'autres instruments clés du projet. Le CCSP assume la fonction d'examen des acquisitions que remplit normalement le comité d'examen des acquisitions (CEA) pour les projets dont le coût est inférieur à 100 millions de dollars. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

senior review board (SRB) - A departmental committee which provides guidance to the Project Leader, assists in resolving issues and provides departmental review and oversight of the project. It is the vehicle used to ensure that Level One Advisors and other major stakeholders have input into the management of a project, and that program issues are recognized and given due consideration at the appropriate level. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**comité supérieur de révision** (CSR) - Un comité ministériel qui donne des directives générales au chef de projet, aide à résoudre les problèmes et assure la surveillance et l'examen ministériels du projet. C'est le véhicule utilisé pour assurer que les conseillers de niveau 1 et les autres intervenants principaux participent à la gestion d'un projet et qu'on tient dûment compte des questions de programme au niveau approprié. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
Service Level Agreement (SLA) - The means for ensuring coherence across functional organizations by establishing the level of support that one Level One organization provides another either in the conduct of operations or in the management of apportioned corporate accounts. Service Level Agreements establish horizontal accountability and include information pertinent to service standards. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**accord sur les niveaux de service** (ANS) - Moyen par lequel on veille à l'uniformité dans les organisations fonctionnelles, en établissant le niveau de soutien qu'une organisation du premier échelon fournit à une autre, dans la conduite des opérations ou dans la gestion des comptes de répartition ministériels. Les accords sur les niveaux de service établissent la responsabilisation horizontale et comprennent des données pertinentes aux normes de service. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Service Standard - Standards of service promised to a client, customer, stakeholder, etc., which include such elements as descriptions of the service to be provided, service pledges or principles, delivery targets, and complaint and redress mechanisms. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Norme de service** - Norme de service promise à un client, à un intervenant, etc., qui prévoit : la description du service à fournir, les principes ou les promesses de service, les échéanciers, ainsi que les mécanismes de règlement des plaintes et de recours. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
Severity - Severity is an assessment of the degree of impact if a specific risk is realized. It is identified as either: Critical – very serious consequences; issue requires close monitoring; Material – serious consequences; issue requires regular monitoring; or Minor – little consequence; issue requires minimal monitoring. ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*	**Gravité** - La gravité est une évaluation des répercussions au cas où un risque précis se concrétiserait. Elle peut être : Critique – conséquences très graves; la situation doit être surveillée de près; Importante – conséquences graves; la situation doit être surveillée régulièrement; Minime – conséquences négligeables; la situation ne nécessite qu'une surveillance minimale. ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*
slippage - Slower than planned expenditures caused by the non-achievement of individual project milestones.	**décalage** - Sorties de fonds plus lentes que prévues attribuées à la non-réalisation des jalons de projet.
slippage allowance - A programming margin added to the Defence Services Program to compensate for slower than planned expenditures, caused by the cumulative non-achievement of individual project milestones.	**prévision du décalage** - Marge de programmation ajoutée au Programme des services de la Défense pour compenser les sorties de fonds plus lentes que prévues à cause du retard cumulatif de l'atteinte des jalons d'un projet donné.

socio-economic impact

- The potential effect of a project on the Canadian economy, in terms of regional income, employment, etc. It is one of four project objectives (the others being the time objective, cost objective and performance objective) that must be considered in assessing alternative options.

répercussions socio-économiques

- Effet potentiel d'un projet sur l'économie canadienne, en termes de recettes régionales, d'emplois, etc. Il s'agit de l'un des quatre objectifs de projet (les autres objectifs ayant trait aux délais, aux coûts et au rendement) qu'il faut prendre en considération lorsqu'on évalue diverses options.

software

- Computer programs, procedures, rules and any associated documentation concerned with the operation of a data processing system.
    - *Supply and Services Canada,(now Public Works and Government Services Canada) Information Technology Vocabulary, (GES/NGI-12/G03), 1984-03-26*

logiciel

- Ensemble des programmes d'ordinateur, des procédures, des règles et éventuellement la documentation associée relatifs au fonctionnement d'un système de traitement des données.
    - *Approvisionnements et Services Canada (maintenant Travaux publics et Services gouvernementaux Canada), Vocabulaire de la technologie du traitement de l'information, (GES/NGI-12/G03), 1984-03-26*

Special Entities

- Those senior managers who, while still responsible for effective resource stewardship, have a unique reporting and accountability relationship such that the DM/CDS do not exercise full authority over them.
    - *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Entités spéciales

- Gestionnaires supérieurs qui sont chargés d'assurer une gestion efficace des ressources, mais qui entretiennent des rapports de subordination et de responsabilisation ayant cela de particulier que le SM et le CEMD n'ont pas pleins pouvoirs sur eux.
    - *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

sponsoring department

- This is a department that has the operational requirement to be met by the project; for which Parliament has appropriated the funds for the project; that makes submissions to Treasury Board for approval of project objectives and expenditure authority; and which is accountable for the overall management of the project. The accountability for the project includes the case where another department or common service agency has agreed to perform project implementation.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

ministère parrain

- Le ministère qui doit remplir l'exigence opérationnelle du projet; auquel le Parlement a affecté des fonds pour le projet; qui soumet des présentations au Conseil du Trésor pour demander l'approbation des objectifs du projet et l'autorisation des dépenses connexes; et qui assume la responsabilité de la gestion globale du projet. Il assume cette responsabilité même lorsqu'un autre ministère ou organisme de services communs a accepté de mettre en oeuvre le projet.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

sponsoring group

- The National Defence Headquarters Group with primary responsibility during the planning, development and definition phases of the project cycle.

groupe promoteur

- Groupe du Quartier général de la Défense nationale qui assume la responsabilité principale au cours des phases de planification, de développement et de définition d'un projet.

statement of requirements (SOR)

- This is the sponsoring department's documentation of the operational requirements stated as the performance objectives of the project in qualitative and quantitative terms. SORs are normally expressed in operational or mission terms and related to the department's mandate or program accountability.
    - *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*

énoncé des besoins (EB)

- Documentation du ministère parrain ayant trait aux exigences opérationnelles, énoncées sous forme d'objectifs qualitatifs et quantitatifs de rendement du projet. Normalement exprimé en termes opérationnels ou sous forme d'énoncés de mission, l'énoncé des besoins est lié au mandat du ministère ou à sa responsabilité à l'égard du programme.
    - *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*

statement of work (SOW) • The specification of the work a contractor is required to do. ○ *Treasury Board Manual, Contracting, Appendix A (Definitions), 1-10-89*	**énoncé des travaux** (ET) • Description des travaux qu'un entrepreneur doit exécuter. ○ *Manuel du Conseil du Trésor, Marchés, annexe A (Définitions), 1-10-1989*
statutory requirement • That portion of government expenditures that is not authorized by Parliament on an annual basis, but rather by on-going statutes. Includes such commitments as the government's portion of the Superannuation Account, Employment Insurance, the Minister's car allowance, etc. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**obligation légale** • Partie des dépenses gouvernementales qui n'est pas approuvée chaque année par le Parlement, mais qui est autorisée en vertu d'une loi en vigueur. Cela comprend des obligations telles que la part du gouvernement dans le compte de pension de retraite, l'assurance-emploi, l'allocation d'automobile pour le Ministre, etc. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
strategic assessment • An amalgam of reports, analyses and studies brought together in a comprehensive description of national and international prospects which may significantly affect Canadian security interests over the long term.	**évaluation stratégique** • Ensemble de rapports, d'analyses et d'études qui servent à donner une description détaillée des situations nationales et internationales potentielles pouvant avoir à long terme des conséquences importantes sur la sécurité du Canada.
Strategic Capital Projects • All projects which have a potential cost of $100M BY or more, plus any smaller projects which are either directed by Government or DND senior managers to have high priority, and smaller projects with high risk. The priority of these projects in any one year is assessed by strategic planning staff and endorsed by the Defence Management Committee. ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*	**Projets d'immobilisations stratégiques** • Tous les projets dont le coût éventuel est de 100 M$ (estimation de l'année budgétaire) ou plus, ainsi que les projets de moindre envergure auxquels le gouvernement ou les gestionnaires supérieurs du MDN ont accordé une priorité élevée, et les projets de moindre envergure qui comportent des risques élevés. La priorité de ces projets au cours d'une année donnée est déterminée par le personnel de planification stratégique et approuvée par le Comité de gestion de la Défense. ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*
Strategic Direction and Force Development (SDFD) • The Strategic Direction process is part of the "front end" of the DMS. It translates government policy and assigned resources into direction for DND and the CF. It develops the direction for Force Structure, Assignments of Missions and Tasks, Establishment of Operational Performance Measures and for the Allocation of Resources. The principal means by which the Force Development is executed is through the Defence Planning Guidance (DPG) and the Business Planning cycle.	**orientation stratégique et développement des Forces** (OSDDF) • L'orientation stratégique figure parmi les composantes initiales du Système de gestion de la Défense. Elle traduit la politique gouvernementale et les ressources affectées en lignes directrices pour le MDN et les FC. Elle oriente la structure des forces, l'affectation des missions et des tâches, la mise en place de mesures du rendement opérationnel, ainsi que l'allocation de ressources. Le développement des Forces s'effectue principalement au moyen du Guide de planification de la Défense et du cycle de planification des activités.
Strategic Guidance • Broad guidance for the Department regarding priorities, required capabilities, responsibilities and resourcing can exist at a variety of levels. At the highest level it is captured in Shaping the Future of Canadian Defence: A Strategy for 2020. It broadly includes extant guidance, plans, doctrine and operational direction. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Orientation stratégique** • Orientation générale du Ministère relativement aux priorités, aux capacités requises, aux responsabilités et à l'affectation des ressources. Elle peut être définie à divers échelons. Au niveau supérieur, elle figure dans le document intitulée Façonner l'avenir de la défense canadienne : une stratégie pour l'an 2020. Elle regroupe de façon générale les directives, les plans, la doctrine et l'orientation opérationnelle en vigueur. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

strategic source - A source of essential defence materiel, services and/or technical capabilities for which domestic assured supply arrangements are required to meet defence needs under peacetime, surge and mobilization conditions. ○ *Directorate of Defence Industrial Resources, Handbook for Industrial Preparedness Planning, 1989 (Draft)*	**source d'approvisionnement stratégique** - Source qui fournit des produits, des services ou des moyens techniques essentiels à la défense, moyennant des ententes garantissant l'approvisionnement à l'intérieur du pays, de manière à répondre aux besoins opérationnels militaires en temps de paix comme en période de prémobilisation ou de mobilisation. ○ *Direction des ressources industrielles de la défense, Handbook for Industrial Preparedness Planning, 1989 (ébauche)*
Strategies and Programs - Represent the approaches an organization follows in fulfilling its objectives. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Stratégies et programmes** - Représentent les approches qu'adopte une organisation pour atteindre ses objectifs. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
substantive estimate - This estimate is one of sufficiently high quality and reliability so as to warrant Treasury Board approval as a Cost Objective for the project phase under consideration. It is based on detailed system and component design and taking into account all project objectives and deliverables. ○ *Treasury Board Manual, Information and Administrative Management Component, Capital Plans, Projects and Procurement, 1994-06-01*	**estimation fondée** - Estimation suffisamment précise et fiable pour permettre au Conseil du Trésor d'approuver un objectif en matière de coût pour la phase du projet à l'étude. Elle repose sur des études détaillées de la conception des systèmes et des composantes, et tient compte de tous les objectifs et résultats prévus du projet. ○ *Manuel du Conseil du Trésor, Module - Gestion de l'information et gestion administrative, Plans d'investissement, projets et acquisition, 1994-06-01*
sunk cost - A cost resulting from an irreversible past decision. ○ *Canadian Institute of Chartered Accountants, Terminology for Accountants, 3rd Edition, 1983*	**coût irrécupérable** - Coût résultant d'une décision irrévocable prise dans le passé. ○ *Institut canadien des Comptables agréés, Dictionnaire de la comptabilité et des disciplines connexes, 3e édition, 1983*
supplementary estimates - The document used to obtain parliamentary approval of proposed changes in the allocation of funds previously approved in Main Estimates, or to obtain a further allocation of funds. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**budget des dépenses supplémentaire** - Document utilisé pour faire approuver par le Parlement des modifications proposées à l'affectation des crédits déjà approuvés dans le Budget des dépenses principal, ou pour obtenir une affectation supplémentaire. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*
sustainability - The time that consumables such as critical spares, Petroleum, Oils and Lubricants, munitions and food can be maintained enabling forces to remain engaged in operations. The usage of these items is heavily dependent on the nature of the conflict. Operations other than war and periods leading up to hostilities will generally use significantly less consumables, especially munitions, than during periods of hostilities. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**maintien en puissance** - Exigence requise d'une force militaire de maintenir sa capacité opérationnelle pendant le temps qu'il faut pour atteindre ses objectifs. Le maintien en puissance englobe l'approvisionnement ininterrompu en articles consomptibles ainsi que le remplacement en matériel et en personnel des pertes subies au combat et des usures non liées au combat. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Sustainment

- The requirement for a military force to maintain its operational capability for the duration required to achieve its objectives. Sustainment consists of the continued supply of consumables, and the replacement of combat losses and non-combat attrition of equipment and personnel.
    - ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*

Maintien en puissance

- Nécessité pour une force militaire de maintenir sa capacité opérationnelle pendant le temps qu'il faut pour atteindre ses objectifs. Le maintien en puissance englobe l'approvisionnement ininterrompu en articles consomptibles ainsi que le remplacement en matériel et en personnel des pertes subies au combat et des usures non liées au combat.
    - ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

synopsis sheet (SS(ID/PPA/EPA))

- The program decision document used by the department to gain Vote 5 expenditure authority from TB or MND. A Synopsis Sheet is used to gain Vote 1 expenditure authority from Level One Advisors. It provides sufficient information on an iterative basis to enable Senior Managers to decide the merits of pursuing a project through each successive phase.
    - ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

feuille de synthèse (FS(ID/APP/ADP))

- Document décisionnel concernant le programme, qui est utilisé par le Ministère pour obtenir du CT ou du ministre de la DN l'autorisation de dépenser (crédit 5). Une feuille de synthèse est utilisée pour obtenir des conseillers de niveau un l'autorisation de dépenser (crédit 1er). Elle fournit suffisamment de renseignements de façon itérative pour permettre aux gestionnaires supérieurs de déterminer s'il est avantageux de poursuivre un projet à chacune des phases successives.
    - ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Synopsis Sheet (Effective Project Approval) (SS (EPA))

- Project decision document used to obtain approval of the activities and decisions occurring in the Definition Phase. It states the selected option, agreement with P, O&M costs and method for funding associated with implementation of the selected option. The approval of the SS(EPA) obtains Vote 5 funding for Implementation Phase.
    - ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Feuille de synthèse (approbation définitive de projet) (FS(ADP))

- Document relatif aux décisions touchant un projet et servant à faire approuver les activités qui ont eu lieu lors de la phase de définition ainsi que les décisions prises. On y décrit l'option retenue; on approuve les coûts relatifs au PF&E ainsi que la méthode de financement associée à la mise en œuvre de l'option retenue. L'approbation de la FS(ADP) permet d'obtenir des fonds de crédit 5 qui serviront à la phase de mise en œuvre.
    - ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Synopsis Sheet (Identification) (SS(ID))

- Project decision document used to obtain approval of activities and decisions occurring in the Identification Phase. It states the capability deficiency and identifies potential options to satisfy that deficiency. The approval of the SS(ID) obtains Vote 1 funding for the Options Analysis Phase and approval for the planning of the total anticipated capital project cost.
    - ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Feuille de synthèse (identification) (FS(ID))

- Document relatif aux décisions touchant un projet et servant à faire approuver les activités qui ont eu lieu lors de la phase d'identification ainsi que les décisions prises. On y décrit les lacunes liées aux capacités ainsi que des options pouvant les corriger. L'approbation de la FS(ID) permet d'obtenir des fonds du crédit 1er qui serviront à la phase d'analyse d'options et autorise la planification de l'établissement du coût total prévu du projet d'immobilisation.
    - ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

Synopsis Sheet (Preliminary Project Approval) (SS(PPA))

- Project decision document used to obtain approval of the activities and decisions occurring in the Options Analysis Phase. It states the preferred option, the anticipated total project cost estimate and the resulting P, O&M implications of implementing the project. The approval of the SS(PPA) obtains Vote 5 funding for the Definition Phase.
    - ○ *A-AD-125-000/FP-001, Defence Management System Manual, 1998-12-31*

Feuille de synthèse (approbation préliminaire de projet) (FS(APP))

- Document relatif aux décisions touchant un projet et servant à faire approuver les activités qui ont eu lieu lors de la phase d'analyse d'option ainsi que les décisions prises. On y décrit l'option privilégiée; on donne une estimation du coût total prévu du projet et on précise les répercussions sur le PF&E qu'entraînera la mise en œuvre du projet. L'approbation de la FS(APP) permet d'obtenir des fonds du crédit 5 qui serviront à la phase de définition.
    - ○ *A-AD-125-000/FP-001, Manuel du Système de gestion de la Défense, 1998-12-31*

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List of Abbreviations

English	Français
Task-Tailored Force • A temporary grouping of units/formations, under one Commander, formed for the purpose of carrying out a specific operation or mission. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Force adaptée à la tâche** • Regroupement provisoire d'unités/de formations, sous la direction d'un commandant, en vue d'exécuter une opération ou une mission donnée. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
technical data package • The complete set of approved technical data which provides a technical description of materiel intended for use in a procurement. The package may comprise drawings, specifications, standards, quality assurance documents, technical publications, packing data, packaging data, and marking data, samples, models and associated lists. ○ *C-02-007-024/JX-001, Canadian Forces Technical Vocabulary, 1990-01-15*	**ensemble de données techniques** • L'ensemble complet de données techniques approuvées qui fournissent une description technique du matériel et auquel on se réfère pour l'acquisition de ce matériel. Il peut s'agir de plans, de spécifications, de normes, de documents d'assurance de la qualité, de publications techniques, de données sur le conditionnement, de données sur le marquage, d'échantillons, de modèles, de schémas et de listes connexes. ○ *C-02-007-024/JX-001, Vocabulaire technique des Forces canadiennes, 1990-01-15*
technical publication • A manual, hand-book, order, procedure, list (such as a parts list) etc, used in support of equipment and facilities but not generally including specifications and standards and operators' books on operational use of equipment. ○ *Canadian Forces Administrative Orders, Publication Management Policy (CFAO 57-12 para 2, Ch 2/82)*	**publication technique** • Manuel, guide, ordonnance, procédure, liste (comme une liste de pièces), etc., utilisés en rapport avec l'équipement et les installations, mais ne comprenant pas, en général, les spécifications, les normes et les guides des usagers concernant l'emploi opérationnel de l'équipement. ○ *Ordonnances administratives des Forces canadiennes, Politique régissant la gestion des publications (OAFC 57-12 art. 2, mod 2/82)*
Total Paid Strength • The sum of military personnel on Functional Strength, Project Management (Vote 1 and Vote 5), Secondments, the Advanced Training List, the Basic Training List, Subsidized University Training List, Medical Holding List, Retirement Leave and Class C Reserve. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Effectif total rémunéré** • Ensemble des militaires inclus dans les listes suivantes : effectifs fonctionnels, gestion des projets (crédit 1er et crédit 5), détachements, effectifs en formation avancée, effectifs en formation élémentaire, effectifs en stage universitaire subventionné, effectifs indisponibles pour raison de santé, congé de retraite et service de réserve de classe C. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*

Treasury Board (TB) • A committee of Privy Council responsible for the overall control and coordination of the administration and expenditures of government.	**Conseil du Trésor** (CT) • Comité du Conseil privé chargé du contrôle et de la coordination globale de l'administration et des dépenses du gouvernement.
Treasury Board minute (TBM) • The decision letter sent back to a department following the consideration of a departmental submission by Treasury Board. It carries a 6-digit reference number, and conveys the official record of the Treasury Board decision.	**délibération du Conseil du Trésor** (DCT) • Document de décision remis à un ministère à la suite de l'étude par le Conseil du Trésor d'une présentation faite par ce ministère. Les délibérations portent un numéro de référence composé de 6 chiffres et contiennent le texte officiel de la décision du Conseil du Trésor.
Treasury Board Submission (TBS) • A document required to obtain preliminary project approval or effective project approval for projects whose total cost will exceed the departmental delegated authority of $30M. An approved Treasury Board Submission is a legal document which authorizes the expenditure of the resources requested. Note: A Progress Report related to a Major Crown Project is forwarded under cover of a Treasury Board Submission.	**présentation au Conseil du Trésor** (PCT) • Document exigé pour obtenir l'approbation préliminaire ou effective de projet dans le cas de projets dont la valeur excède la délégation de pouvoir du ministère de 30 millions de dollars. Une présentation au Conseil du Trésor approuvée constitue le document légal qui autorise la dépense des ressources demandées. NOTA : Quand il s'agit d'un grand projet de l'État, un rapport d'avancement ou d'évaluation est transmis sous pli d'une présentation au Conseil du Trésor.
Types of Risk • The three types of risk: Decision risk - the risk of doing the wrong thing; Implementation risk - the risk of the work turning out wrong; and Performance risk - the risk of the work going as planned but not delivering what was desired, or on time. All three may occur in relation to the same tasking. ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*	**Types de risques** • Il y a trois types de risques : risques liés à la prise de décisions – le risque de prendre la mauvaise décision; risques liés à la mise en œuvre – le risque de mal s'y prendre; risques liés à l'exécution – le risque de ne pas aboutir aux résultats escomptés ou de ne pas respecter les délais même si le travail s'est effectué tel que prévu. Tous ces risques peuvent se présenter dans le cadre d'une même tâche. ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

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English	Français
Uncertainty	**Incertitude**
• Uncertainty is the situation where the probability of each possible outcome cannot be estimated. ○ *1948-1(DFPPC) dated 30 May 2001 - COORDINATING INSTRUCTION - 2002/2003 LEVEL ONE BUSINESS PLANNING SUBMISSIONS*	• Une incertitude, c'est lorsque les probabilités associées à chaque résultat possible ne peuvent être prévues. ○ *1948-1(DPFCP) daté le 30 mai 2001 - INSTRUCTION DE COORDINATION - PRÉSENTATION DES PLANS D'ACTIVITÉS DE NIVEAUX 1 POUR 2002-2003*

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English	Français
Vanguard • The Vanguard is that portion of the Main Contingency Forces that is maintained at a higher readiness and that deploys in advance of the main force. ○ *Defence Plan 2001 - DND/CF Internal Annual Business Plan for FY 2001/02*	**Avant-garde** • Élément de la force de contingence principale qui se maintient dans un état de préparation plus élevé et qui se déploie avant l'essentiel de la force. ○ *Plan de la Défense 2001 - Le plan d'activités annuel interne du MDN et des FC pour l'AF 2001-2002*
vote • A request to Parliament for an appropriation. Note: The term "vote" is commonly used in the sense of "appropriation". Strictly speaking, a vote becomes an appropriation only when the Appropriation Act in which it is contained receives royal assent. ○ *Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174)*	**crédit** • Demande faite au Parlement pour l'ouverture d'un crédit. Nota : Le mot « crédit » s'emploie non seulement dans son sens propre d'autorisation parlementaire (en anglais « appropriation »), mais aussi dans le sens de demande ou projet de crédit (en anglais « vote »). Strictement parlant, une demande de crédit (« vote ») devient une autorisation parlementaire (« appropriation ») quand la loi de crédits qui la contient obtient la sanction royale. ○ *Secrétariat d'État du Canada, Vocabulaire budgétaire, financier et comptable, 1987 (Bulletin de terminologie 174)*

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English

weapon system

- A combination of one or more weapons with all related equipment, materials, services, personnel and means of delivery and development (if applicable) required for self-sufficiency.
  - *A-AD-121-D01/IX-000, NATO Glossary of Terms and Definitions, AAP-6(S), 1991*

Français

système d'arme(s)

- Ensemble comportant une ou plusieurs armes ainsi que l'équipement, le matériel, les services, le personnel, les moyens de déplacement (au besoin) et de lancement nécessaires à son autonomie.
  - *A-AD-121-D01/IX-000, Glossaire OTAN de termes et définitions, AAP-6(S), 1991*

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Each definition in this glossary obtained from a source outside the DMS Manual is followed by a number in parentheses which corresponds to the sources from which it was obtained. Where difference in the wording of definitions exist with other sources, the definitions provided in the Treasury Board Manual take precedence. [18] Each source and the applicable number are listed below:

1. C-02-007-024/JX-001, Canadian Forces Technical Vocabulary, 1990-01-15.
2. Deleted - ~~A-LP-113-001/FP-001, Life Cycle Management System Guidance Manual , Ch 2, 1987-02-02.~~
3. Treasury Board, Administrative Policy Manual, Chap 540 (Dec 86).
4. Deleted - ~~A-LP-005-000/AG-001, Project Management, 1988-12-13.~~
5. Department of the Secretary of State of Canada, Budgetary, Accounting and Financial Vocabulary, 1987 (Terminology Bulletin 174).
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12. Canadian Institute of Chartered Accountants, Terminology for Accountants, 3rd Edition, 1983.
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14. Treasury Board, Policy and Expenditure Management System Manual, date unknown.
15. A-FN-840-001/MS-001, Standards for Internal Audit in the Government of Canada, 1982, Glossary.
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85), updated by 2921-A-AD-125-000/FP-001 (DRDP Con 2) 3l Jan 9l and 9 Apr 9l.

17. Project Management Principles and Policies for the Department of National Defence, dated July 1991 and approved by PCB 01/92 on 5 Feb 92 (Item V).
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Abbreviations

ACRO	Advisory Committee on Repair and Overhaul
ADM(DIS)	Assistant Deputy Minister(Defence Information Services)
ADM(Fin CS)	Assistant Deputy Minister(Finance and Corporate Services)
ADM(IE)	Assistant Deputy Minister(Infrastructure and Environment)
ADM(Mat)	Assistant Deputy Minister(Materiel)
ADM(HR-Mil/Civ)	Assistant Deputy Minister(Human Resources - Military/Civilian)
ADM(Pol)	Assistant Deputy Minister(Policy)
AFC	Armed Forces Council
AIRCOM	Air Command
ARLU	Annual Reference Level Update
ASD	Alternative Service Delivery
$BY	Budget-year Dollars
BP	Business Plan
BPRT	Business Plans Review Team
$CY	Constant-year Dollars
CANUS	Canada-United States
CAPS	Conventional Armaments Planning System (NATO) Canadian Annual Procurement Strategy
CAS	Chief of the Air Staff
CDS	Chief of the Defence Staff
CF	Canadian Forces
CISOE	Construction in Support of Equipment
CLS	Chief of the Land Staff

CMS	Chief of the Maritime Staff
CNAD	Conference of National Armaments Directors (NATO)
CRS	Chief Review Services (Audit and Evaluation)
DAOD	Defence Administrative Orders and Directives
DC	Defence Council
DCDS	Deputy Chief of the Defence Staff
DCSA	Defence Chief Scientific Advisor
DEM	Daily Executive Meeting
DFAIT	Department of Foreign Affairs and International Trade
DFPPC	Director Force Planning and Program Coordination
DGMRS	Director General Management Renewal Services
DGPA	Director General Public Affairs
DGSP	Director General Strategic Planning
DIN	Defence Information Network
DIP	Defence Industrial Preparedness
DISO	Defence Information System Organization
DM	Deputy Minister
DMC	Defence Management Committee
DMS	Defence Management System
DND	Department of National Defence
DND CIO	Defence Chief Information Officer
DPG	Defence Planning Guidance
DPL	Deputy Project Leader
DPR	Departmental Performance Report
DPQ	Defence Planning Questionnaire (NATO)
DRDB	Defence Research and Development Branch
DSP	Defence Services Program
ECS	Environmental Chief of Staff

EMS	Expenditure Management System
EPA	Effective Project Approval
FMAS	Financial and Managerial Accounting System
FTE	Full Time Equivalent
FY	Fiscal Year
G&C	Grants and Contributions (Vote 10)
GP	Group Principal
HR	Human Resources
IE	Infrastructure and Environment
IJDP	International Joint Development Project
ILS	Integrated Logistics Support
IM/IT	Information Management/Information Technology
JAG	Judge Advocate General
L1CP	Level One Capital Plan
LCMM	Life Cycle Materiel Manager
LTCP(C)	Long Term Capital Plan(Construction)
LTPC(E)	Long Term Capital Plan(Equipment)
LTCP(IM)	Long Term Capital Plan(Information Management)
MC	Memorandum to Cabinet
MCP	Major Crown Project
MIS	Measures, Indicators and Standards
MMI	Materiel Management Instruction
MND	Minister of National Defence
MOU	Memorandum of Understanding
MR	Miscellaneous Requirements
MRR	Miscellaneous Recurring Requirements
NATO	North Atlantic Treaty Organization
NBC	Nuclear Biological Chemical

NDHQ	National Defence Headquarters
NORAD	North American Aerospace Defence
NP	National Procurement
O&M	Operations and Maintenance
OAG	Office of the Auditor General
OCI/OPI	Office of Collateral/Primary Interest
OGD	Other Government Department
OR	Operational Research
ORES	Operational Readiness and Effectiveness System
PAPS	Phased Armaments Programming System (NATO)
PD	Project Director
PILT	Payment in Lieu of Taxes
PIP	Project Implementation Plan
PL	Project Leader
PM	Project Manager
PMB	Program Management Board
PMO	Project Management Office
P, O&M	Personnel, Operations & Maintenance
PPA	Preliminary Project Approval
PPRA	Project Profile and Risk Assessment
PRAS	Planning, Reporting and Accountability Structure
PRC	Procurement Review Committee
PROD	Preliminary Record of Decisions
PSC	Procurement Strategy Committee
PWGSC	Public Works and Government Services Canada
R&D	Research and Development
R&O	Repair and Overhaul
RC	Resource Centre

RDAC	Research and Development Advisory Council
RDEC	Research and Development Executive Committee
RDPRC	Research and Development Program Review Committee
RFP	Request for Proposal
ROD	Record of Decisions
ROM	Rough Order of Magnitude
RPD	Revenue from Property Disposals
RPP	Report on Plans and Priorities
S	Statutory (Vote)
S&T	Science and Technology
SAR	Search and Rescue
SEMC	Senior Environment Management Committee
SLA	Service Level Agreement
SMOC	Senior Management Oversight Committee
SOR	Statement of Requirements
SORA	State of the Realty Assets (report)
SOW	Statement of Work
SPAC	Senior Project Advisory Committee
SRB	Senior Review Board
SS(EPA)	Synopsis Sheet (Effective Project Approval)
SS(ID)	Synopsis Sheet (Identification)
SS(PPA)	Synopsis Sheet (Preliminary Project Approval)
SWE	Salary Wage Envelope
TB	Treasury Board
TBMCPPP	Treasury Board Manual Capital Plans, Projects and Procurement
TBS	Treasury Board Secretariat
TOR	Terms of Reference
UN	United Nations

UOR	Unforecast Operational Requirements
US DoD	United States Department of Defence
VCDS	Vice Chief of the Defence Staff
WBS	Work Breakdown Structure

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